Construction Engineering Research Laboratory

Legacy Resource Management Program

Analysis of Service Records Management Systems for Rescue and Retention of Cultural Resource Documents

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Abstract: According to definitions within the National Historic Preservation Act (NHPA), when records are related to a historic property or historic resource, the records themselves are defined as "historic property" or a "historic resource." Historic documents and other materials relating to properties listed in, or eligible for listing in, the National Register of Historic Places (NRHP) include: specifications, illustrations, sketches, drawings, property cards, maps, photographs, charts, tables, and textual documents. The Department of Defense (DoD) has obligations through the NHPA and other legislation to develop and implement plans for identification and management of such records. This study identifies and addresses the conflicts between cultural resources and records management regulations and instructions in an effort to help identify and manage historic record resources. The technical report covering the study contains a basic assessment of relevant records management practices, service-specific mandates and processes, cultural historic property document types, an analysis of record groups containing cultural resource- related records, and summary recommendations. Without this effort, many documents of immense future value to historians, historical architects, cultural resource managers, master planners, and many others would continue to be irrevocably lost.

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Preface

This study was conducted for the Office of the Deputy Under Secretary of Defense, Installations and Environment, under the Legacy Resource Management Program Project 07-352, "Best Practices for Rescue and Retention of Cultural Resource Documents." The technical monitor was Hillori L. Schenker of the Department of Defense Legacy Resource Management Program Office in Arlington, VA.

The work was performed by the Land and Heritage Conservation Branch (CN-C) of the Installations Division (CN), U.S. Army Engineer Research and Development Center – Construction Engineering Research Laboratory (ERDC-CERL). At the time of publication, Dr. Christopher M. White was Chief, CEERD-CN-C; Dr. John T. Bandy was Chief, CEERD-CN; and Dr. William D. Severinghaus was Technical Director for Military Ranges and Lands. The Deputy Director of ERDC-CERL was Dr. Kumar Topudurti, and the Director was Dr. Ilker Adiguzel.

COL Gary E. Johnston was Commander and Executive Director of ERDC, and Dr. James R. Houston was Director.

1 Introduction

1.1 Background

According to the National Historic Preservation Act (NHPA), those records related to a historic property or historic resource are themselves defined as "historic property" or "historic resources." Historic documents and other materials relating to properties listed in (or eligible for listing in) the National Register of Historic Places (NRHP) can include specifications, illustrations, sketches, drawings, property cards, maps, photographs, charts, tables, and textual documents. The Department of Defense (DoD) has obligations through the NHPA and other legislation to develop and implement plans for identification and management of such records. Without such an effort, many documents of immense future value are, and will continue to be, irrevocably lost to historians, historical architects, cultural resource managers, master planners, and others.

In many cases, the loss of cultural resource information can be traced to record keeping that uses evolving means of technology. For example, on many installations, electronic real property databases have replaced the paper property cards. These cards contained building-specific information such as construction contracts, building materials, use category codes, occupancy records, and modifications tracked from initial construction through several decades of use. When the real property record system was automated, much of this information was not migrated to the new database. The responsible offices were told to destroy the old cards, and thus, vast amounts of irreplaceable historical data useful in documenting the histories of these buildings were lost. This information is also useful in maintaining the buildings as required of federal agencies in accordance with NHPA Section 110. In some cases, there may not be enough remaining information available to determine historic significance or integrity of potentially historic buildings and structures.

There have been a few efforts in the past to approach this problem. In 1997, the Air Force Air Combat Command (ACC) sponsored a project to "locate, evaluate, interpret, and prioritize a variety of Cold War material resources" on 27 ACC bases. Types of resources were identified and curation needs were addressed for the literary resources. In 2003, ACC sponsored a follow-up project to utilize the identified collections to further as-

sess documents' conditions, recommend ways to preserve them, provide treatment and storage options, and duplicate selected examples from the Cold War collections.[1] The Navy began an effort in 2006 to create a plan for identifying and retaining Cultural Resource Management (CRM)-relevant records located in or originating in Navy cultural resource/historic preservation offices. A draft records schedule was drawn up in consultation with National Archives and Records Administration (NARA).[2]

1.2   Objective

The objective of this research was to identify and address the conflicts between cultural resource management and current records management regulations and practice for DoD-created records. More specifically, we sought to examine current DoD records management practices in order to more carefully locate and preserve records associated with cultural resources on military installations.

1.3   Scope

The records investigated for this project covered those cultural resource topics involving real property, installation history, and installation land management. This proved to be a very large task in itself. Due to constraints of time and record search capabilities, the cultural resource areas of archeology, Native American issues, and range management were not included in this effort. It is likely these topics cover a much smaller number of records and thus, could be researched later using the methodology developed for this study. Also not addressed here are the documents produced in cultural resource offices, as CRM personnel already have knowledge of these records. While this project was underway, the Navy did create draft records schedules for known cultural resource records.

Records selected for analysis in this study were a snapshot of the records management systems of the three service branches as of January 2008, our data capture point. Both the records management systems and the individual record types may have changed since then. Records management is always in transition as new types of records are added, those no longer

[1] Paige M. Peyton, "Air Combat Command Pilot Study: Cold War Document Preservation, Draft" in the U.S. Air Force Air Combat Command Series, Report of Investigations, Number 19, (Langley, Virginia: US Air Force, Air Combat Command, 2003), 1-1 - 1-2.

[2] Thomas, Jay. "Cultural Resources SSIC/possible records retention," manuscript, 2007.

relevant are deleted, and record schedules are altered. In addition, processes and personnel at NARA and the services' records management organizations may have shifted or been reorganized. Links to Internet Web pages and service-specific policy documents in this document were updated just before release, for optimum usability.

In terms of the records management systems themselves, there was one data source available for each system, so no opportunity was available for cross-referencing. Analysis revealed that thousands of record types potentially contain records relevant to cultural resources. As a result, it was not possible to investigate each record type in detail. As this effort is the first of its kind, our results represent a first pass at the problem.

Currently, one of the largest areas of change is occurring with the management of electronic records. This is a very important aspect of records management and will become more so in the future. Due to the scope and fluid nature of electronic records management practices and policies, the authors felt it was beyond the scope of this project to incorporate electronic records into the analysis. Additionally, we felt the non-electronic records were older and therefore, more likely to be more fleeting and CRM-relevant.

1.4   Methodology

In general terms, this research involved an assessment of relevant records management practices, DoD and service-specific mandates and processes, cultural historic property document types, and records policy and process gaps. A step-by-step breakdown of the research process is shown below:

1. Initial investigations centered on reviewing existing records management materials, including NARA training materials, Department of Defense (DoD) and service-specific policies and regulations, and prior records-related studies such as *Needs Assessment for Historic Documents Management at Fort McPherson and Fort Gillem, Georgia* (Enscore and Webster 2003).
2. It was then necessary to examine the online service-specific records management systems, namely Army Records Information Management System (ARIMS), Air Force Records Information Management System (AFRIMS), and the Navy Records Management System.[3] Each system

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[3] Marine Corps records are managed within the Navy Records Management System.

has unique record categories, series, and records schedules. Although these systems are Internet-based, records tracked within the systems consist of non-electronic records.

3. Once familiar with the service-specific records management systems, researchers developed a list of keywords for use in searching the systems for record series that were relevant to cultural resources. In some cases, better search coverage was expected when using truncated versions of the keywords (e.g., "cemeter" for cemetery or cemeterial, and "demoli" for demolish or demolition). For a complete listing of keywords used in this study, see Appendix B.

4. Using the list of keywords, researchers then searched the record management systems for keyword occurrences. Matches were recorded (including record category, keywords used, title, number, and disposition) in Microsoft Excel.[4] In some cases, it was necessary to alter the exact characters used in keywords, to be more compatible with the various system search capabilities.

5. The keyword occurrences and record type listings were further honed by removing record types listed as *rescinded* (i.e., cancelled). Similarly, record types shown as *superseded* (i.e., replaced) were removed from the listings. Rescinded record types were removed from any further consideration in this study. However, currently active record types that superseded formerly listed record types became pertinent by association, regardless of whether they contained any of the keywords.

6. With the service listings finalized, various team members then independently rated the record types according to their likelihood of CRM use. These ratings were in the form of color-coding on the spreadsheet document created for each service. Red meant the record type was not CRM-relevant, yellow meant the record type was possibly CRM-relevant, and green meant the record type was likely CRM-relevant.

7. The record type ratings of the various team members were then compared for their level of agreement and disagreement. The record types with final combined ratings of green automatically became classified by the research team as CRM-relevant. Record types with mixed ratings were discussed by the team and a final rating applied.

8. The summary spreadsheets of highly CRM-relevant record types are listed by service in Appendix C.

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[4] The records disposition schedule (RDS) for the Navy Records Management System is unique in format (i.e., PDF). This format occasionally provided unclear information about the disposition of record series. For this reason, some results in the "Disposition Schedule" column of the Navy spreadsheet are labeled (**) to indicate that exact disposition is unclear.

2   Records Management Primer

2.1   Definitions[5]

Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business, and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government, or because of the informational value of the data in them (44 U.S.C. 3301). Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.[6] The legal authority for acceptance of permanent records into the National Archives is found in 44 U.S.C. Chapter 21, Section 2107.[7]

Records series is the basic unit for organizing and controlling files. It is a group of file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.

Records management is defined as the planning, controlling, directing, organizing, training, promoting, and other such managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government, and effective and economical management of agency operations.

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[5] Parts of this section taken verbatim from: http://www.archives.gov/about/regulations/part-1220.html.

[6] Contrary to records management policies, exhibition or reference materials may be considered official government records for CRM purposes. If a military installation has any such material that may be the only source of information on a significant topic, they should contact their records manager about including the material in their records management system.

[7] Sebastian Welch, Military Work Group, National Archives and Records Administration, College Park, Maryland, electronic communication with Susan Enscore, 29 June 2009.

Records personnel, including records administrators, records managers, and records coordinators, are responsible for the execution and maintenance of records management practices. Specific duties include assisting in the disposal, transfer, or retirement of records, and educating staff about current records management procedures.

- o *Records administrators* create, modify, and approve office records lists for all units. They also view all records for each unit and process all requests for hardcopy records and electronic records.
- o *Records managers* approve lists of office records, serve as the local authority for recordkeeping procedures, and manage, oversee, and direct the installation recordkeeping subprogram. These personnel also appraise the subprogram periodically. Records managers manage and provide staff direction for the operation of the records holding area and ensure that records are properly arranged prior to transfer.
- o *Records coordinators* develop office records lists, coordinate retirement of Transfer (T) records, serve as the subject matter expert for their unit, resolve indexing problems, and ensure implementation of recordkeeping procedures within their unit.

Disposition is an action taken with regard to Federal records that are no longer needed for current government business as determined by their appraisal pursuant to legislation, regulation, or administrative procedure. *Disposition* is a comprehensive term that includes both destruction and transfer of Federal records to the National Archives of the United States.[8] The *disposition* of both temporary and permanent records requires the prior authorization of the Archivist of the United States. In 44 U.S.C. Chapter 33, Section 3303, agency heads are directed to submit schedules to the Archivist of the United States for review and approval.[9] Agencies submit disposition requests to NARA on a Standard Form 115, *Request for Records Disposition Authority*.

- o *Permanent records* are those that NARA appraises as having sufficient value to warrant continued preservation by the Federal Gov-

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[8] http://www.archives.gov/records-mgmt/faqs/scheduling.html#disposition. For more detailed discussions of disposition and disposition programs, refer to *36 CFR Part 1228, Subpart D - Implementing Schedules* or the *Disposition of Federal Records Handbook*.

[9] Sebastian Welch, Military Work Group, National Archives and Records Administration, College Park, Maryland, electronic communication with Susan Enscore, 29 June 2009.

ernment as part of the National Archives of the United States. Permanent records include all records accessioned by NARA into the National Archives (and later increments of the same records), and those for which the *disposition* is permanent on the SF 115.

o *Temporary records* are those records that NARA approves for either immediate disposal, or for disposal after a specified time or event, due to insufficient value to warrant its preservation by the NARA.

Records schedule is created for each record series and determine the future disposition of the records. Options for disposition include destruction (after the set time provided in the schedule), temporary retention at a Federal Records Center (FRC) followed by transfer to a NARA facility, or direct transfer from the agency to NARA. *Record schedules* can take one of three forms:

1. An SF 115, Request for Records Disposition Authority that has been approved by NARA to authorize the disposition of Federal records;
2. A General Records Schedule (GRS) issued by NARA. GRS provide mandatory disposal authorization for temporary administrative records common to several or all agencies of the Federal Government. The GRS include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions; or
3. A printed agency manual or directive, containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. This is what the military services use for their records schedules.

Unscheduled records are without a final disposition approved by NARA; those that have not been included on a Standard Form 115 (Request for Records Disposition Authority) approved by NARA; those described but not authorized for disposal on an SF 115 approved prior to May 14, 1973; and those described on an SF 115 but not approved by NARA (withdrawn, canceled, or disapproved). Records managers must wait to take action on these records until NARA has developed records schedules for them.

2.2   The NARA records disposition process[10]

Records have immediate value during the conduct of any type of business or process. Once the current need for them has been fulfilled, a decision must be made about keeping or destroying them. For records that have no value beyond the business process, such decisions include how long to retain records before destruction and where to retain them before destruction. For records that have value beyond the business process (such as for historical, lessons learned, or research purposes), decisions would involve length of time to keep and where to keep the records. For example, they could be stored on-site for a period, stored in a holding area for a period, or transferred directly to a permanent repository. The process of making these decisions involves developing records schedules and acquiring disposition authority in conjunction with NARA.

2.2.1   Developing records schedules

The primary steps in developing agency records disposition schedules are given below and are taken from the NARA Web site. Details for each step are contained in the NARA records management handbook, *Disposition of Federal Records.*[11] Ultimately, all records of an agency must be scheduled for disposition, but they need not all be scheduled at the same time. An agency may schedule the records of one function, program, or organizational element at a time. The general steps in the process are:

1. Determine the functions and activities documented by the records to be scheduled.
2. Prepare an inventory of the records including a description of their medium, location, volume, inclusive dates, informational content and use.
3. Evaluate the period of time the agency needs each records series by reference to its uses and value to agency operations or legal obligations.
4. Based on agency need, develop specific recommended retention and disposition instructions for each records series, retention periods for temporary records, transfer periods for permanent records, and in-

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[10] *Request for Records Disposition Authority* (SF 115), 21-26 is available at http://www.archives.gov/about/regulations/part-1228/b.html; *Transfer to the National Archives* (SF 258 and SF 135), 27-30 at http://www.archives.gov/about/regulations/part-1228/l.html

[11] The 1997 publication was made available as a downloadable PDF in 2000 and is available at: http://www.archives.gov/records-mgmt/publications/disposition-of-federal-records

structions for the transfer of records to an approved records storage facility when appropriate.

5. Assemble into a draft schedule the descriptions and recommended disposition instructions for logical blocks of records (i.e., entire agency, organizational component, or functional area).

6. Obtain approval of the records schedules from NARA ,and from the General Accounting Office (GAO) when so required under title 8 of the GAO *Policy and Procedures Manual for the Guidance of Federal Agencies*).

These steps should be completed in consultation with the installation's Records Officer (see Appendix D). This person usually works through an information management office on an installation. The Records Officer will submit the forms to NARA and act as the POC in dealings with NARA.

2.2.2   Agency records schedules

Agency records schedules, approved by the Archivist of the United States,[12] specify the disposition of agency records. Records of continuing (permanent) value will be scheduled for retention and for immediate or eventual transfer to the legal custody of NARA. All other records will be scheduled for destruction or donation, after a specific period of time based on their administrative, fiscal, and legal values.

2.2.2.1 Characteristics of schedules

Although records disposition authority may be requested from NARA on a program-by-program, function-by-function, or office-by-office basis, all agency records must eventually be scheduled. Schedules must follow these guidelines:

• Schedules shall identify and describe clearly each series or system, and shall contain disposition instructions that can be readily applied. (Additional information is required for permanent records as specified below in the section on Scheduling Permanent Records.) Schedules must be prepared so that each office will have standing instructions detailing the disposal, transfer, or retention of records.

• The SF 115 forms shall include only new records not covered by (a) NARA's General Records Schedules (GRS), (b) deviations from the

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[12] The presidential-appointed, chief official who oversees operation of the NARA.

GRS, or (c) previously scheduled records requiring changes in reten-
tion periods or substantive changes in description.
*   All schedules shall take into account either the physical organization of
    the records or the filing system, so that disposal or transfer can be
    handled in blocks.
*   The disposition of non-record materials is controlled by instructions in
    the agency's printed or published records disposition manual. These
    instructions do not require NARA approval and such items shall not be
    included on SF 115 forms. Non-record materials, such as extra copies of
    documents preserved solely for reference, stocks of processed docu-
    ments, and personal materials shall be maintained separately from of-
    ficial agency files to aid in records disposition.

2.2.2.2 Provisions of schedules

Records schedules shall provide for:

*   *destruction* of records that have served their statutory, fiscal, or admin-
    istrative uses and no longer have sufficient value to justify further re-
    tention. Procedures for obtaining disposal authorizations are pre-
    scribed in the section "Scheduling Temporary Records" below.
*   *removal* to a records storage facility of records not eligible for immedi-
    ate destruction or other disposition, but which are no longer needed in
    office space. These records are maintained by the records storage facil-
    ity until they are eligible for final disposition action;
*   *retention* of the minimum volume of current records in office space,
    consistent with effective and efficient operations; and
*   *identification* of records of permanent value in accordance with the
    section "Scheduling Permanent Records" below, and the establishment
    of cutoff periods and dates when such records will be transferred to the
    legal custody of NARA.

2.2.3   Request for records disposition authority

2.2.3.1 Submission

Requests for records disposition authority shall be initiated by federal
agencies by submitting Standard Form 115 (SF 115), *Request for Records
Disposition Authority* to NARA (for sample form, see Appendix E). An SF
115 is used for requesting authority to schedule (or establish the disposi-

tion for) permanent and temporary records, either on a recurring or one-time basis.

- New federal agencies shall apply NARA's General Records Schedules to eligible records, and shall submit to NARA those SF 115s covering all remaining records within 2 years of their establishment.
- Agencies shall submit to NARA schedules for the records of new programs, and of programs that are reorganized or otherwise changed in a way that results in the creation of new or different records within 1 year of the implementation of the change.

2.2.3.2 Certification

The signature of the authorized agency representative on the SF 115 shall constitute certification that the records recommended for disposal do not or will not have sufficient administrative, legal, or fiscal value to the agency to warrant retention beyond the expiration of the specified period, and that records described as having permanent value will be transferred to NARA upon expiration of the stated period.

2.2.3.3 Disapproval of requests for disposition authority

Requests for records disposition authority may be returned to the agency if the SF 115 is improperly prepared. The agency shall make the necessary corrections and resubmit the form to NARA. NARA may disapprove the disposition request for an item if, after appraisal of the records, NARA determines that the proposed disposition is not consistent with the value of the records. In such cases, NARA will notify the agency in writing.

2.2.4   Scheduling permanent records

2.2.4.1 Initiation

Federal agencies propose permanent retention of records in accordance with guidelines contained in the NARA records management handbook, *Disposition of Federal Records.*

2.2.4.2 Requirements

Each item proposed for permanent retention on an SF 115 shall include the following:

- records series title used by agency personnel to identify the records;
- complete description of the records including physical type and information contents;
- inclusive dates;
- arrangement statement that describes how records are organized;
- statement of restrictions on access which NARA should impose in conformity with the Freedom of Information Act (FOIA) if the records are proposed for immediate transfer;
- estimate of the volume of records accumulated annually if the records are current and continuing;
- total volume to date; and
- disposition instructions, developed using the following guidelines:

  o If the records series or system is current and continuing, the SF 115 will include a disposition instruction specifying the period of time after which the records will be transferred to NARA: normally within 30 years for paper records, 5 - 10 years for audiovisual or microform records, and as soon as the records become inactive or the agency cannot meet the maintenance requirements for electronic records.
  o If the records series or system is nonrecurring, i.e., no additional records will be created or acquired, the agency may propose either immediate or future transfer to NARA.

2.2.4.3 Determination of permanent value

NARA will determine whether or not records are of permanent value and when the transfer of the permanent records will take place. This would include a determination of duplication of records – if NARA already has an item proposed for transfer.

- If NARA determines that records are not permanent, it will notify the agency and negotiate an appropriate disposition. The disposition instruction on the SF 115 will be modified prior to NARA approval.
- If NARA determines that records are permanent, but that the transfer instructions are not appropriate, it will negotiate appropriate transfer terms with the agency. The disposition instruction on the SF 115 will be modified prior to NARA approval.

2.2.5   Withdrawn items

Agencies may request that items listed on the SF 115 be withdrawn, to aid the NARA's processing (appraisal) of remaining items on the schedule.

• If, during the course of the appraisal process, NARA determines that records described by an item(s) on the proposed schedule do not exist or are not arranged as stated on the SF 115, NARA may request the agency to withdraw the item(s) from consideration, if the agency is unable to offer sufficient clarification.
• If NARA and the agency cannot agree on the retention period for an item(s), the items(s) may be withdrawn. In these cases, the agency will submit an SF 115 with a revised proposal for disposition within 6 months of the date of approval of the original SF 115.

2.2.6   Request to change disposition authority

Agencies desiring to change the approved retention period of a series or system of records shall submit an SF 115. Disposition authorities contained in approved SF 115s are automatically superseded by approval of a later SF 115 applicable to the same records unless the later SF 115 specified an effective date. Agencies submitting revised schedules shall indicate on the SF 115 the relevant schedule and item numbers to be superseded, the citation to the current printed records schedule (if any), and/or the GRS and item numbers that cover the records.

Agencies proposing to change the retention period of a series or system of records shall submit with the SF 115 an explanation and justification for the change. The need to retain records longer than the retention period specified in the disposition instructions on an approved SF 115 (for purposes of audit, court order, investigation, litigation, study, or any other administrative purpose that justifies the temporary extension of the retention period) shall be governed by the procedures set forth elsewhere in the NARA Code of Federal Regulations (36 CFR Chapter XII). Agencies shall not submit an SF 115 to change the retention period in such cases. Agencies must secure NARA approval before changing the provision in a disposition instruction which specifies the period of time that permanent records will remain in agency legal custody prior to transfer to NARA.

2.3   NARA and its record repositories

There are varying levels of repositories, just as there are varying levels of record retention. Repositories include the NARA archives in the Washington, DC area, a network of regional NARA archives across the country, and a set of FRCs in various cities.[13]

NARA has two primary archive locations in the Washington, DC area:

- National Archives - Washington, DC (on the Mall)
- National Archives - College Park, MD (also known as Archives II)

In addition to non-military records, the National Archives on the Mall contains pre-WWII Army, Navy, and Marine textual records. Archives II contains WWII and beyond military textual records (including Air Force) as well as cartographic (e.g., maps and aerial photographs), architectural, graphic, still picture, and motion picture resources. All NARA archives records have a permanent disposition status.

NARA's regional archives system is shown in Table 1. The regional archives house records created in and relevant to their specific geographic region. These records also have permanent disposition status. The determination of transfer of records to a regional archive as opposed to the Washington, DC area archives is based on public access needs; where the records would be most useful to the segment of the public interested in accessing them. For records pertaining to specific military installations or facilities, there would likely be Headquarters level at NARA, and lower level records at the regional archives.

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[13] Clarifying information for this section was provided by Sebastian Welch, Team Leader, Military Team, Life Cycle Management Division, NARA, College Park, MD in telephone interviews with Susan Enscore on 26 May 2009 and 29 May 2009.

Table 1. Locations of NARA regional archives.

New England Region - Waltham, MA	Central Plains Region - Kansas City, MO
Northeast Region - Pittsfield, MA (microfilm only)	Southwest Region - Fort Worth, TX
Northeast Region - Boston, MA	Rocky Mountain Region - Denver, CO
Northeast Region - New York, NY	Pacific Region - Laguna Niguel, CA
Mid Atlantic Region - Philadelphia, PA	Pacific Region – San Francisco (San Bruno), CA
Southeast Region - Atlanta, GA	Pacific Alaska Region - Seattle, WA
Great Lakes Region - Chicago, IL	Pacific Alaska Region - Anchorage, AK

The third type of repository is a Federal Records Center (FRC). This is a facility primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time but do not to be retained in office equipment or space.[14] The records stored in an FRC may be both permanent and temporary. The temporary records would be housed at the FRC until they no longer needed to be retained, according to their records schedule. The permanent records would be transferred to the archives facilities at a time determined in their records schedule. FRC locations are shown in Table 2.

There is one specialized FRC located in Suitland, Maryland. This Washington National Records Center (WNRC) contains permanent records primarily from the headquarters offices of the various federal agencies. These records have disposition instructions that specify transfer to the WNRC as their final disposition. The WNRC also contains temporary records held until they no longer needed to be retained according to their records schedule.

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[14] http://www.archives.gov/about/regulations/part-1220.html#parta

Table 2. Location of Federal Records Centers.

Atlanta, GA (Ellenwood, GA)	Miamisburg, OH
Boston, MA (Waltham, MA)	Philadelphia, PA
Chicago, IL	Pittsfield, MA
Dayton, OH	Riverside, CA (Perris, CA)
Denver, CO	San Francisco, CA (San Bruno, CA)
Fort Worth, TX	Seattle, WA
Lee's Summit, MO	St. Louis, MO - 2 (one civilian, one military)
Lenexa, KS	Suitland, MD (DC Area)

All three types of repositories are open to the public for research. Information on the records stored at each facility, and details for access and scheduling a visit can be found at http://archives.gov.

On military installations, there are also facilities designated to hold records. Referred to as a records holding area (RHA) by the Army, they are used to store records for a short period of time before transfer or destruction. There are a few exceptions to transferring military records to a NARA facility; the U.S. Army Military Academy at West Point, NY, and the National Aeronautics and Space Administration (NASA) maintain their own archive facilities. They are considered affiliated archives and adhere to NARA standards for records management.

3   Standard Use Of Records Management Systems

In order to manage the immense collection of records that are created and maintained by the military services, each uses an online records management system. Within each *system*, records are arranged by categories, numbers/titles, and disposition instructions. Similar records are organized into collective *categories*. Within these categories are multiple record *numbers* with their associated *titles*. A record number does not represent an individual record (such as a piece of paper on which a specific construction contract is communicated). Rather, a record number describes a group of similar records called a *series*. For example, in the Army system, record number 415-15d represents all *Standard Designs* by HQ USACE. This record number resides under the Construction category with similar record number 415-15e, representing all *Standard Design References* by field offices.

3.1   DoD and service-specific records management policies and systems

3.1.1   DoD policy

DoD Directive 5015.2, *DoD Records Management Program* (dated 6 March 2000; see Appendix A), establishes policy, responsibilities, and procedural guidance standards for the life-cycle management of records within DoD systems. The directive implements records management within the DoD.[15] All DoD Records Management Programs must be in accordance with the mandatory requirements established in this directive.[16]

3.1.2   Army

Army Regulation (AR) 25-400-2, dated 2 October 2007, *The Army Records Information Management System (ARIMS)* governs the maintenance and disposition of Army information, and implements new policy on recordkeeping requirements. This directive explains how to use the online

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[15] Sebastian Welch, Military Work Group, National Archives and Records Administration, College Park, Maryland, electronic communication with Susan Enscore, 29 June 2009.

[16] http://www.defenselink.mil/webmasters/policy/dodd50152p.pdf

record management system of ARIMS.[17] ARIMS can be found online at
https://www.arims.army.mil/ARIMS/MainPage.aspx. (An Army Knowledge Online (AKO)
account is required for access.)

Army pamphlet #DA PAM 25-403, *Guide to Recordkeeping in the Army*,
dated 11 August 2008, provides general operational procedures and guide-
lines for recordkeeping within the Army. It is to be used with AR 25-400-
2.[18] DA PAM 25-403 can be found at http://www.apd.army.mil/pdffiles/p25_403.pdf.

3.1.3   Air Force

Air Force Policy Directive (AFPD) 33-3, *Information Management*, dated
28 March 2006, establishes the framework for how the Air Force creates,
uses, and preserves information and data. It ensures that all records cre-
ated as a result of processes prescribed in this publication are maintained
in accordance with Air Force Manual (AFMAN) 33-363, *Management of
Records,* and disposed of in accordance with the Air Force Records Infor-
mation Management System (AFRIMS) Records Disposition Schedule
(RDS).[19]

AF MAN 33-363, *Management Of Records*, dated 1 March 2008, estab-
lishes general procedures for managing Air Force records, and lists pro-
gram objectives and responsibilities involving the planning, arranging, and
filing of records.[20]

Air Force Instruction (AFI) 33-364, *Records Disposition—Procedures and
Responsibilities*, dated 22 December 2006, guides personnel in disposing
of several types of records, retiring or transferring records using staging
areas, and retrieving information from inactive records.[21]

AFI 33-322, *Records Management Program*, dated 7 October 2003, de-
tails the various responsibilities of specific Air Force records management

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[17] http://www.apd.army.mil/pdffiles/r25_400_2.pdf

[18] http://www.apd.army.mil/pdffiles/p25_403.pdf

[19] http://www.e-publishing.af.mil/shared/media/epubs/AFPD33-3.pdf

[20] http://www.e-publishing.af.mil/shared/media/epubs/AFMAN33-363.pdf

[21] http://www.e-publishing.af.mil/shared/media/epubs/AFI33-364.pdf

personnel such as managing and disposing of records, and training staff in records managements procedures.[22]

AFI 33-321, *Authentication of Records*, dated 27 July 2006, explains approved authentication methods for Air Force records. These methods are used to establish the integrity of specified record information.[23]

AFRIMS is now accessed through the Air Force Web Portal at https://www.my.af.mil. An Air Force Portal account is required for login through a Common Access Card (CAC) or user name and password. This site also provides access to the RDS. Once at the site, click "Portal A-Z Applications List" to locate the AFRIMS link.

3.1.4   Navy

Secretary of the Navy Instruction (SECNAVINST) 5210.8D, *Department of the Navy Records Management Program*, dated 31 December 2005, provides revised policy and assigns responsibilities for the life-cycle management of records, provides policy for the identification and protection of vital records, and establishes responsibility for the Department of the Navy (DON) Records Management (RM) Program.[24] This directive is a basic outline of the program that is to be implemented. It states that the Marine Corps will implement the DON's RM Program.

SECNAV Manual, M-5210.1, *Department of the Navy Records Management Manual*, dated 16 November 2007, provides guidelines and procedures for the proper administration of the DON RM Program. This manual is the single records disposition authority for all DON records.[25] As part of this manual, the records schedule for the Navy can be found at http://doni.daps.dla.mil/SECNAV%20Manuals1/5210.1.pdf.

An automated search tool for this schedule was launched in June 2008, after this study's "snapshot" was taken. The search tool can be accessed at http://www.doncio.navy.mil/m5210.

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[22] http://www.e-publishing.af.mil/shared/media/epubs/AFI33-322.pdf

[23] http://www.e-publishing.af.mil/shared/media/epubs/AFI33-321.pdf

[24]http://doni.daps.dla.mil/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-200%20Management%20Program%20and%20Techniques%20Services/ 5210.8D.pdf

[25] http://doni.daps.dla.mil/SECNAV%20Manuals1/5210.1.pdf

3.2   Differences and similarities between the systems

Differences among the service-specific records management systems are
primarily due to two factors: (1) dissimilar labeling of record categories
and series and (2) varying search functions within the electronic sys-
tems.[26] Regarding the latter, ARIMS and AFRIMS have searchable online
records databases that include record categories and numbers, while re-
cord categories for the Navy system were available only in portable docu-
ment format (PDF) at the time the keyword search was performed, and
were not searchable except by the find function. Differences such as this
made it difficult to run identical keyword searches across the systems. Due
to the difficulties searching the Navy portable document file (PDF) format,
there may have been errors of both commission and omission in summary
tables produced during keyword searches.

Despite system differences, several notable keywords produced CRM-
relevant results in all three systems. These keywords included: architec-
ture/architectural, blueprint, building, cemetery/cemeteries, construction,
design, drawings, engineer, historical/history, map, and master plans. Ad-
ditional keywords that produced CRM-relevant results in ARIMS and
AFRIMS (but not the Navy RM System) included: architect-engineer,
photo/aerial, and contract. In addition to these keyword successes, the
various electronic systems had some record topics in common that were
noteworthy from a CRM perspective and shown in Table 3.

Table 3. Common record topics in the service-specific systems.

Topic	Category	System
Contracts	Contracts	ARIMS
	Contracting	AFRIMS
Engineering, Construction, and Design	Corps of Engineers Engineering and Design	ARIMS
	Corps of Engineers Planning	ARIMS
	Construction	ARIMS
	Facilities Engineering	ARIMS
	Civil Engineering	AFRIMS
	Developmental Engineering	AFRIMS
	Engineering Drawings	Navy RM System

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[26] Some keywords were not relevant across the military services, therefore searches using incompatible
terms were not attempted.

Topic	Category	System
	Shore Station Design Criteria Records	Navy RM System
	Shore Station Construction Records	Navy RM System
Historical Significance	Historical Activities	ARIMS
	History	AFRIMS
	Historical Matters Records	Navy RM System
Maintenance	Maintenance of Supplies and Equipment	ARIMS
	Maintenance	AFRIMS
	General Maintenance, Construction, and Conversion Records	Navy Records Management System
Real Estate	Real Estate	ARIMS
	Installations	ARIMS
	Real Estate Records	Navy RM System

Ultimately, the Navy Records Management System produced the fewest CRM-relevant results, due to its rudimentary search function which prevented the user from searching for multiple topics within a records category. This result could also be due to the Navy having fewer relevant records. The Air Force's AFRIMS and the Army's ARIMS platforms produced larger numbers of CRM-relevant results. This was likely due to the systems' robust search engines which allowed for (a) detailed searching within record categories and (b) retrieval of all possible records series within a specific records category. This also could be due to the fact the Army and Air Force might have a larger number of relevant records.

4 Conclusions and Recommendations

The goal of this project was to assess record categories (e.g., information management, facilities engineering, real estate), and to some degree, records types within categories (e.g., drawings, correspondence, topographic maps), that may have records schedules contrary to the needs of the services to determine the significance of properties eligible under Section 106 of the NHPA. For instance, the absence of information needed for assessment of properties under Criterion C, (design/construction) may be compromised if key information about design directives for a class of military buildings and structures is absent. Likewise, information needed to establish the integrity of these structures, such as building maintenance records, may also be compromised if not retained permanently.

For the purposes of determining historical significance of a property against one or more of the criteria established in NHPA and/or the integrity of these properties over time, sufficient historical information must be retained to allow such study to adequately occur. For this reason, a review was done of records that resulted from a keyword search of service records for information related to real property. The disposition instructions were examined for the records determined as having high relevance to support the study of the significance and integrity of military real property. For purposes of retaining important records to support evaluations of potentially historic properties, those records which currently do not have a disposition schedule listing of "PERMANENT," would require a change to "PERMANENT."

4.1 Results

Keyword searches within the service records management systems yielded the results shown in Table 4. Because this research represents a first attempt to examine potential CRM-relevant records at the DoD level, the results presented here are not definitive. The expectation is that reviews will be conducted on a recurring basis to refine the list of keywords and develop additional ways to discover overlooked CRM-related records.

Table 4. Keyword search results.

System	Number of records found from keyword searches	Number of record categories associated with found records
ARIMS	1659	95
AFRIMS	1676	36
Navy RM System	553	200

The relevance of record types with respect to CRM was assessed by three cultural resource professionals and voted to be of low, medium, or high value. These low-medium-high ratings correspond to the red-yellow-green color-coding described in the methodology section of this report. Low-value (red) records received a numerical score of 1; medium-value (yellow) records were assigned a score of 2; and high-value (green) records were assigned a score of 3.

Factoring in the scores of the three CRM professionals for each record type, those records with an average score of 2.67 or higher, in combination with a standard deviation of 0.58 or lower, were deemed highly relevant for CRM purposes. Their high relevancy stems from the absence of any low (red) votes and a majority of high (green) votes. These are the record types presented in the Appendix B shortlists.

4.1.1   ARIMS records analysis

A total of 1,659 records from ARIMS were produced by keyword search and then, reviewed for relevance to CRM and appropriateness of their disposition instructions. Only 13% of the records currently have "permanent" as their disposition status. There were 112 records (7%) out of the 1,659 reviewed which were voted as having high value toward the evaluation of Army properties. Those 112 records covered 24 category types contained in the ARIMS database. Of the 112 records, 34 records (30%) already have a "permanent" status in their disposition instruction. Table 5 shows the categories and the percentage of records voted highly relevant out of the total number of records for each source category. In 71 other categories of records, there were 835 records rated of medium or low relevance in this study (see Table 6). More detailed, future examination of these lower-rated records may illuminate additional records that merit a change in their records schedule to "permanent" status. There may also be records in the higher-rated list that might be downgraded. The full list of CRM-

relevant ARIMS records by category, with their disposition instructions, is shown in Appendix C, Table 12.

Table 5. Categories of ARIMS records with high relevance.

Record Category	#	%	Examples
Administration	2/28	7	Plaques, photos, building citations
Army Information	7/22	32	Photos, press release, newspaper
Army Programs	4/26	15	Project operations and maintenance
Cemeteries	2/7	29	Deeds, plans, drawings, correspondence
Climatic, hydrologic, topo	8/55	15	Maps and coordinates – all offices
Construction	10/27	37	Standard design and correspondence – USACE HQ and field offices
USACE Eng & Design	7/74	9	Standard drawings, plans, designs, master development plans
USACE Project Operation	2/9	22	Project and index maps held by COE
USACE topo & geodesy	2/2	100	Topographic maps and overlays
COE Water Resource Policies and Authority	1/5	20	Erosion studies and land transfer plans
Deceased Personnel	2/5	40	Mortuary and card index abstracts
Environmental Quality	1/19	5	Outdoor recreation plans
Facilities Engineering	1/47	2	Paint records
Financial Administration	1/35	3	Principal costs
Heraldic Activities	3/5	60	Heraldic items and activities
Historical Activities	13/15	87	Artifacts, history, property cards, photos, correspondence
Information Management	9/101	9	Photos, illustrations, drawings, film
Installations	16/86	19	Cemetery registers, plans, layouts, master plans, MILCON, housing
Legal Services	2/64	3	Congressional real estate acquisition and disposal
Logistics	1/40	3	Construction reports, drawings
MWR	2/30	7	Construction report for NAF project
Personnel – general	4/58	7	Ceremonies, cemetery interment
Real Estate	9/54	17	Real property record cards, drawings, inventories, titles
US Army Reserve	3/6	50	Facility design, historic preservation, real property records
24 Categories	112/824	14	

Table 6. ARIMS record categories in the medium- or low-relevance groups.

(Note to reader: to follow alphabetically, read table from left to right.)

Record Category	Record Category
Air Transportation	Army National Guard and Reserve
Assignments, details, and transfers	Assistance, investigation, inspections
Audit	Aviation
Boards, commissions, and committees	Cataloging supplies and equipment
Civilian personnel	Clothing and textile materiel
Communications-electronics	COE contracts
COE planning	COE plant
COE regulatory functions	Courier service
Criminal investigation	Decorations, awards, and honors
Education	Employment of Army/other services
Exchange service	Explosives
Field organizations	Food program
Force development	Foreign countries and nationals
Housekeeping files	Inventory management
Maintenance management	Maintenance of supplies and equip.
Management	Management information control
Man-materiel systems	Manpower and equipment control
Medical services	Military intelligence
Military operations	Military police
Military publications	Motor transportation
Nuclear/chemical weapons and materiel	Office management
Operations and signal security	Organizations and functions
Personnel affairs	Personnel absences
Personnel evaluation	Personnel processing
Personnel selection and classification	Personnel procurement
Personnel separations	Procurement
Product assurance	Property accountability
Religious activities	Requisition/issue of supplies/equipment
Research Development	Reserve Officers training corps
Safety	Schools
Security	Security assistance
Service organizations	Standardization

Record Category	Record Category
Statistics	Storage and Supply activities
Surface transportation	Test and evaluation
Training	Transportation and travel
Utilization/disposal of supplies/equip.	

Note: 71 Categories, 835 records

Each record from the 112 records initially scored as having high relevance was evaluated more closely to ensure that the record indeed belonged in the high-relevance group. An effort was made to ensure that information and media types (such as maps, plans, designs, photos, movies, drawings, correspondence, and other written and oral documentation) were being kept for all property types that may be eligible under NHPA, so that future nomination packages will be as complete as possible. But even that effort is problematic. For example, eligibility information for "landscapes" (as a property type) requires data from many diverse and often sparse record sources. By contrast, record sources supportive for eligibility of buildings and structures tend to be more prevalent.

An important consideration for deciding whether the current records schedule is adequate for records of high relevance to CRM is to compare categories and record types within categories, and then, to compare categories and property types within categories, to see if crucial information is already tagged as "permanent" or not. In essence, we looked for the best record sources needed for property documentation, to ensure that only crucial information is kept. For instance, many record types are generated related to the Marine Corps' Military Construction (MILCON) records, from master plans and standard designs, to "as-builts" and construction correspondence. These records were found in six categories, with each category covering document types such as drawings, maps, photos, plans, and contract correspondence. Not all records within these six categories were scheduled as "permanent"; only 13 of 40 records were so marked. But, by looking at all records related to construction across multiple categories, we can get a clearer picture of what is collected and what is already being saved as a "permanent" record.

This process of record review with the intent of gathering information needed to document cultural properties was also done to understand his-

torical context. Records such as citations, plaques, and photos related to memorialization boards, news media and press releases, biographies, military history, historical summaries, visual information (VI) files, maps, quartermaster reports, and master plans come from record categories such as: Administration, Army Information, Real Estate, Historical Activities, Information Management, and Installations. Many key records related to historic context have a "permanent" disposition, particularly records under the Historical Activities category. However, some records useful for historic context studies within these larger categories are not designated as "permanent," such as Military Real Property Record Cards (record number[27] 405-90f) within the Real Estate category.

This comparison also seeks to insure that key information will be retained, without burdening the Army with unnecessary record keeping. For example, cemetery information, important to the Army for many reasons, has 11 records and is contained under four record categories: Installations, Deceased Personnel, Cemeteries, and Personnel-general. Eight of the records already have a "permanent" disposition. The three remaining records may have useful information, but appear to contain redundant information for cultural resource needs that are already covered under the permanent records. Thus, no change needs to be made for this type of property. The disposition status for each of the 112 high-relevance records was examined this way, and its disposition instruction was marked as sufficient as currently exists, i.e. already "permanent" (no change needed), or in need of change to "permanent" status.

Each of the 112 records in the high-relevance group was also tagged as to how it may support NHPA Criteria and measures of integrity, in an additional effort to see if records important for assessing eligibility already have "permanent" record status. This tagging, together with assessment of records within and across categories, revealed some possible changes to the records schedule along with validating other aspects. These results are included below.

4.1.2   ARIMS findings

As stated above, during our first review of ARIMS records having some relationship to cultural resources, we created a list of 1,659 records and culled them down to the 112 having high relevance to CRM. Analysis

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[27] Record numbers are from the Modern Army Recordkeeping System (MARKS), established in 1993.

within and across categories for each of these records revealed that most categories have disposition instructions that are adequate and that they retain the most important information in "permanent" disposition status. There are, however, some notable exceptions that need either consideration for change of status to "permanent" or further study to ascertain the exact nature of the data contained in the record before a status change may be recommended.

One record type that may need a change in its disposition instruction status is "Real Property Inventories" (record number 405-25a) under the Real Estate record category. Within the Real Estate record category, only "Real Property Title/Historical files maintained by the US Army Corps of Engineers Divisions and Districts" (record number 405-90h1) has a Permanent disposition. Real property inventories contain valuable information about when property was acquired and its ownership that may not be contained in the Corps of Engineers file.

A similar case can be made for Master Plans, record numbers 210-20a1 and 210-20a3 under the Installations record category, and Master Development Plans, record number 1110-2-240a found under the Corps of Engineers Engineering and Design category. Installation master plans reveal much about the design, layout, function, and use of installations and their facilities during various periods of time. However, the only records with Permanent status are for "Master plans - installations in which the plan pertains: If listed in the National Register of Historic Places," and "Master Development Plans – HQ USACE." Neither record retains information about master plans being designed and developed at installations today or in recent history.

Revisions to the master planning process in response to Army transformation efforts after 9/11[28] changed how master planning is done in the Army and the roles of the organizations involved in the process. Master planning changes were captured in 2005 with an update to AR 210-20, Real Property Master Planning for Army Installations (which currently is being changed yet again). It is very much an installation-led process with support from Installation Management Command (IMCOM) and a diminished role for HQ USACE. In addition, development of master plans has

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[28] Referring to the events of September 11, 2001, when various attacks were conducted against targets within the U.S., including the World Trade Center in New York City and The Pentagon near Washington, D.C.

become a much more integrated process done in an electronic manner. Today, it is unclear what information about master plans is being permanently saved and who is saving this information. Thus, master plans being devised today, especially those embracing design and planning concepts within the new town planning and sustainability movements, don't appear to be marked for "permanent" status under the current records schedule. This may be detrimental to understanding the context of cultural properties in the future.

As an example of the changing nature of records, it was noted that the Administration record category containing two records, 1-33a2 and 1-33a3 (relating to Memorialization Board files), refers to the memorialization process under the Office of the Adjutant General. This process underwent a major modification with the 2006 publication of AR 1-33, The Army Memorial Program. Responsibilities for memorialization now fall under the Secretary of the Army and his designees. The role of the Adjutant General (AG) has been greatly reduced. Thus, it was noted that "Record 1-33a2, Office of the AG," has a "permanent" disposition status and "Record 1-33a3, Office other than the AG," does not.

4.1.3   AFRIMS records analysis

In the AFRIM database,[29] the relevance of both record categories and record types within categories to cultural resources, was reviewed and analyzed in the same manner used for the Army record database. Of the 1,676 records produced by keyword search (see Table 11 for keywords used) from AFRIMS, 83 records (5%) were determined to be highly relevant for cultural resources. Of these 83 records, only 11 records (13%) already had dispositions of "permanent." These records came from 12 record categories (comprising 998 records) of the 36 categories in the database (see Table 7). There were 24 categories of records (1,593 records), rated as medium-to-low relevance to cultural resources (see Table 8). As with the Army records, a future, more detailed examination of the medium-to-low rated records may yield additional records for consideration as relevant to CRM. Unlike the Army records, the Air Force database doesn't use a coding system for disposition instructions.

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[29] Records that contained information about Air Force airplanes and weapon systems were not considered in this study, as they represent a separate category of historical properties and these records are often kept by many organizations, both military and private.

Table 7. Categories of AFRIMS records with high relevance.

Record Category	#	%	Examples
Acquisition	5/86	6	Historical files (drawings, photograph, site survey)
Chaplain	1//6	17	Design plans and policy
Civil Engineering	37/177	21	Cultural preservation, plans, designs, maps, construction
Communication & Information	10/146	7	Facility documentation, photographs, video, film
Financial Management	1/135	1	Capehart/Wherry Acts housing construction, payment
History	10/14	71	Periodic histories, monographs, source doc., property
Maintenance	1/116	1	Launch site historical data
Materiel Management	3/67	4	Engineering data, drawings, historical cards
Personnel	2/152	1	Memorialization files
Public Affairs	4/16	25	Public affairs originals, newspapers
Services	4/73	5	Historic preservation, maps, and records
Standardization	5/10	50	Engineering technical specifications, drawings, design
12 Categories	83/998	8	

Table 8. AFRIMS record categories in medium- or low-relevance group.

(Note to reader: to follow alphabetically, read table from left to right.)

Record Category	Record Category
Aerospace medicine	Contracting
Dental	Developmental Engineering
Flying operations	Health service
Information management	Intelligence
Law	Logistics
Logistics staff	Manpower organization
Medical	Medical command
Operations	Operations support
Safety	Security
Space, missile, command and control	Special investigations
Special management	Test and evaluation
Transportation	Weather

Note: 24 Categories, 1,593 records

4.1.4   AFRIMS findings

As stated above, during our first review of AFRIMS records having some relationship to cultural resources, we created a list of 1,676 records and culled them down to the 83 having high relevance. Analysis within and across categories for each of those 83 high-relevance records revealed that most categories do not have records schedules that are adequate, and those records schedules do not retain all of the most important information in "permanent" status.

The total number of record categories in the AFRIMS database (36 categories) was much lower than those in the ARIMS database (95 categories), even though the total number of records retrieved by keyword search was about the same. As for the record descriptions, Air Force records are more clearly described than Army records. Most Air Force records came from the Civil Engineering category (37 records); This category covers a broad range of records from design plans and policy, comprehensive installation plans, real estate, and construction programs to historic-cultural preservation, maps and drawings, and costs by facility. There were also Civil Engineering records specific to the Capehart and Wherry Housing Acts and to current housing programs. Of the records in the Civil Engineering category, the Historic-Cultural Resources (T32-03 R01.00), Major and Minor Construction Programs including P-341, NAF, and O&M (T32-07 R01.00), Real Property Case Files (T32-10 R01.00), and Air Force Inventory of Real Property (T32-11 R01.00) records are the only ones that have disposition instructions of "Retire as permanent."

A large percentage of the records contained in the "History and Communications" and "Information" categories were considered highly relevant to cultural resources. Many of these records contribute to context development of potentially historic properties through film and video productions, periodic histories, monographs, studies and reports, and property source documents. However, very few records are marked for permanent disposition. For example, the record "Periodic Histories, Monographs, Studies and Reports Retained for Research and Reference" (T84-01 R05.00) is not marked for permanent disposition even though it appears that this would be a valuable record for understanding historical context. While it is true that records from other categories also contain information important for historical context studies (such as the Public Affairs and Services category), it seems concerning that only one record within the History category is marked as "Retire as permanent."

One interesting record within the "Communications and Information" category (T33-17 R21.00), pertains to "Local Visual Information/Audio-Visual Production of Local Interest." The disposition instruction for this record notes, "If the local interest item has long-lasting impact/effect on the Air Force, the base or local community, send to the Defense Visual Information Center (DVIC) and to the Air Force History and Research Agency (AFHRA). If DVIC doesn't want it, AFHRA can have originals. If no one wants the records, destroy after 7 years." This certainly is not a sure path to permanence for potentially important records.

4.1.5   Navy records analysis

In the Navy database, the relevance of record categories and record types within categories to cultural resources was reviewed and analyzed in the same manner as the process for the Army and Air Force record databases. The result was a list of 76 highly relevant records taken from 40 record categories of the 200 categories in the database (see Table 9). These highly relevant records represented 40% of the records contained in the categories they came from and 14% of all the records (553) within the database. Of these 76 highly relevant records, 33 records (43%) had disposition instructions that retained the record as "permanent." Two other records related to shore station construction were shown as "Vital record copy; destroy only when directed by COMNAVFACENGCOM." In the 160 other categories of records, there were 477 records that were rated of medium-to-low relevance to cultural resources (see Table 10). As with the Army and Air Force records, a future, more detailed examination of the medium-to-low rated records may yield additional CRM-relevant records.

Since the Navy records[30] retrieved by keyword search yielded records across 200 categories, it was more difficult to cross-reference categories to find records that covered the full range of facility-related records including infrastructure, property acquisition and development, historical context and use, and adaptations and modifications over time. Consequently, the review and voting to determine records of high, medium, and low relevance to cultural resources focused more on each record.

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[30] Records that detailed information about Navy or Marine Corps ships or weapon systems were not considered in this study as they represent a separate category of historical properties and these records are often kept by many organizations both military and private.

Table 9. Categories of Navy records with high relevance.

Record Category	#	%	Examples
Administration and Policy Records	1/1	100	Files of AFRT relations to DON with significance
Archives Records	1/1	100	Naval Historical Center documents
Aviation Facilities Records	1/1	100	Plans, Data, Design Manuals, Handbooks, and Guides
Bridges, Trestles, Overpass Records	2/2	100	Geometric Design Criteria at COMNAVFACENGCOM
Building Materials Records	1/1	100	Building materials records
Cemeteries Records	2/2	100	Titles, deeds, site maps, or photographs, and registers
Chapel Records	1/1	100	Relating to the construction of chapels
Combat Camera Operations Recds.	1/1	100	VI-materials by Navy and Marine Corps
Command Histories Records	1/1	100	Marine Corps command historical summary file
Communication Struc. And Fac. Rcds.	1/1	100	Development, design and construction of commo facilities
Drill and Parade Ground Records	1/1	100	Drill and parade grounds construction records
Drydock records	3/3	100	Correspondence files, reports, drawings for drydocks
Engineering Drawings	1/27	4	Film and diazo copies of master plans
External Public Affairs	1/5	20	Clippings, newspapers, and other materials for articles
Family Housing Records	1/7	14	Facility history record
General Facs. And Activities Ashore	4/9	44	Programming and construction of shore stations
General Fleet Facilities Records	1/1	100	Navy and Marine Corps stations and bases
General Micrographics Pubs/Printing	1/2	50	Master files of naval publications
General Operations and Readiness	1/2	50	Base headquarters records
General Operations Records	2/12	17	Construction records
General RDT&E Records	2/12	17	Historically significant projects
Harbor Defense Facilities Records	1/1	100	Development, design, construct. Of harbor defense facs
Highways and Roads Records	1/1	100	Design, construction, maintenance, and upkeep
Historical Matters Records	6/9	67	Historical records, oral history, transcripts
Internal Public Affairs Records	1/3	33	Station newspapers Navy/Marine Corps Bases, Stations
Marine Railways Records	3/3	100	Design drawings, as-builts, construction files
Medical and Dental Struc. & Facs.	6/7	86	Planning, programming, blueprints, design criteria
Military Construction Records	1/2	50	Annual and other military construction programs

Record Category	#	%	Examples
Mobilization records	1/1	100	Past National, Navy and USMC Mobilization Evolutions
Museum records	1/3	33	Design, construction, background records for exhibits
NATO Common Infrastructure Program and Logistics Records	1/1	100	Plans, drawings, specifications for proposed infrastructure projects
Observatories Records	1/1	100	Construction of Naval Observatories records
Ordnance Facilities Records	1/1	100	Development, design, and construction records
Real Estate Records	6/11	55	Deeds to property, certificates of title
R&D Development Facilities Records	1/1	100	Development, design, and construction
Shore Station Construction Records	8/24	33	Record drawings and as-builts
Shore Station Development Records	2/9	22	Master plans and Naval Facility Assets database
Storage Structures and Facilities Records	1/1	100	Master file and historical data tapes
Structures and Facilities Records General	2/9	22	Drawings or plans including blueprints
VI Productions, Products, and Services	1/5	20	VI materials by Navy and Marine Corps
Waterfront Records	1/1	100	Engineering and design of waterfront facilities
40 Categories	**76/188**	**40**	

Table 10. Navy record categories in medium- or low-relevance group.

(Note to reader: to follow alphabetically, read table from left to right.)

Record Category	Record Category
Access Records	Advanced Base Functional Component Records
Agriculture, Fish, and Wildlife Records	Air Systems
Aircraft Maintenance Records	Aircraft Records
Allowances Records	Alterations and Improvement Records
Ammunition and Explosives Records	Amphibious Records
Artifacts and Paintings Records	Autodin I/Autodin II Records
Automotive Records	Boards, Committees, Councils, Group Meeting
Bombs Records	Budget/Estimates Preparation Records
Casting, Welding, Riveting and Allied Processes	Cataloging, Material ID and Classification
Civilian Payroll Accounting Records	Construction and Conversion Records
Contract Administration Records	Contractor Performance Records
Courts-Martial Review and Appeals Records	Cryptology and C2 and Communications
Damage Control Records	Data Analysis Records
Data Prediction Records	Data Systems Development for Temporary Systems

Record Category	Record Category
Decorations, Medals, and Awards Records	Depth Charge Records
Disaster Control Records	Diving and Hyperbaric Systems Safety Certification
Drainage Records	Energy Conservation Records
Engineer Supplies and Construction Equipment	Engineering Change Proposals Records
Exchanges Records	Facilities Records
Fire Protection and Fire Fighting Records	Flags and Pennant Records
Fleet Proposals for Aircraft Modification Records	General Aeronautical and Astronautical Material
General Aeronautical Ground Support Equipment	General Appropriation, Fund, Cost, and Property Acctg.
General Armament (Shipboard installations)	General Astronautic Vehicles Records
General Astronomical and Chronometric Support	General Avionics Records
General Contract and Special Financing Records	General Contracting Records
General Environment Protection Records	General Guidance and Administration (Ship) Records
General Integration and Engineering	General Intelligence Records
General Logistics Records	General Maintenance, Construction, and Conversion
General Material Records	General Medicine and Dentistry
General Miscellaneous Material Records	General Office Services Records
General Ordnance Material Records	General Outfit and Furnishing Records
General Production Planning, Progressing, Expedite	General Progress and Statistical Reporting Program
General Reliability and Maintainability Records	General Retirement Records
General Security Records	General Transportation Facilities, Heavy Equipment
General Underwater Ordnance Record	General Utilities and Services Records
Gift to Naval Establishment Records	Guided Missile Installation Defense Records
Gun Ammunition Records	Household Goods and Personal Property Records
Hyperbaric Facilities Records	Identification (credentials, tags, passes, permits)
Industrial and Industrial Reserve Facilities	Information Products
Inspections, Examinations, Tests and Surveys	Inspector General Investigation/Inspections
Integrated Material Management (IMM) Records	Inventory Control Records
Law Enforcement Records	Logistics Support Requirement Records
Machine Tools and Industrial Production Equipment	Magazine Records
Maintenance Records	Management Engineering Plan (MEP) Records
Material Records	Material Supply Coordination Records
Media Relation Records	Messes and Cafeterias Records
Military Justice Records	Mine Records
Model and Mock-up Records	Mooring and Navigation Records

Record Category	Record Category
Names and Symbols Records	Naval Nuclear Propulsion Information (NNPI)
Navy and Marine Corps Manufacturing Facilities	Navy Operation Support System (OSS)
Noise and Vibration	Nuclear Ordnance/Special Weapon Safety Records
Other Decoys Records	Other Housing Records
Out-Leases and Easement Records	Overhaul/Rework Records
Permanent Promotion Records	Photographic Records
Pontoons Records	Power Plant Records
Propulsion Gas Turbines	Public Affairs Guidance Records
Radiological Medicine Records	Railways and Rolling Stock Records
Rank and Precedence Records	Recruiting Advertising Material Control Records
Recruiting Advertising Operations Records	Recruiting Program Analysis Records
Reliability and Maintenance Records	Rocket Records
Safety and Occupational Health Records	Safety Records
Scheduling Records	Sea Transportation Records
Seaworthiness Records	Security Requirements Records
Sewer and Sewerage Records	Ship System Management Records
Shipments (Cargo and Freight) Records	Ships History Source File
Shipways Records	Shore Station Design Criteria Records
Shore Station Maintenance Records	Shore Systems
SI Communications Equipment Configuration Ctl.	Sigint Equipment Installation and Configuration Ctrl.
Small arms and Landing Force Equipment Records	Space Allocation Records
Space Control Records	Special Purpose Propulsion Plant Systems
Specification Records	Standards of Interoperability
Submarine Systems	Supply Afloat Records
Supply Levels Records	Supply Support Records
Surface Systems	Technical Manual Program
Technical Manuals and Other Data Records	Temporary Promotions Records
Terminal Operations Records	Threaded Fasteners Maintenance Records
Tool Records	Torpedo Records
Traffic Analysis/Engineering Records	Traffic Handling/Processing Records
Training Publications Records	Training Ranges
Transportability Records	Transportation and Handling Records
Uniforms Records	Upkeep Records
Warfare Tasks Records	Water Supply Records

Record Category	Record Category
Weight and Balance Records	Worldwide Military C2 System (WWMCCS) Records

Note: 160 Categories; 365 Records

4.1.6 Navy records findings

The range and depth of Navy records determined to be highly relevant to cultural resources covered many property types and the areas of documentation needed, for evaluating properties to the NRHP and maintaining them according to Section 110 of the NHPA. As noted above, 43% of these records already have a disposition instruction of "Retire as permanent." Many important types of information are being held in this manner, such as record drawings, designs, as-builts for shore construction and general facilities, real estate, and bridges/trestles of unique design. In addition, facility or structure history records, historically significant projects, and most records having to do with historical matters (e.g. oral history and transcripts) are included.

One record (5780-4-a) within the "Internal Public Affairs Records" category, for "Station newspapers from Navy and Marine Corps bases, air stations, and major industrial facilities" has a disposition instruction that states: "Offer to NARA Regional Archives upon closing of the base or installation. Long running publication series not needed for publication files should be offered to NARA in 5-year blocks when 20 years old." It is not known if these records are indeed being held by NARA and thus available for cultural resources research.

While many records are being retained in a permanent status, and each record category has representative permanent records, most of the records in the highly relevant list do not have a "permanent" disposition notation. Such notable records include Facilities History Cards – locations, design, and maintenance of facilities ashore (11000-4); Shore Facility Programming Boards – overall execution of plans, policies, procedures including master development and construction plans (11000-1-b); Facility Files – facility history record for family housing (11101-2); and the Naval Facility Assets Data Base – financial and physical data for buildings, structures, utilities, and land. The exception is for records within the Historical Matters category, where all of the records currently are tagged as "permanent."

4.2   Summary and recommendations

Cultural resource management has evolved greatly since the inception of the NHPA in 1966. Most military installations have conducted at least one cultural resource inventory, covering both real property and archeological sites. Many tools have been developed to enhance the management of these resources, and personnel have been duly trained in their use. Throughout this period of growth, the area least attended to are the sources of the information that allow these properties to be determined eligible to the National Register of Historic Places (NRHP) and allow them to be properly maintained as such. Many installation CRM offices now contain collections of source material such as maps, previous reports, and photographs. Less attention has been paid to securing CRM-relevant records located both in offices across installations and in other places such as installation-specific and federal holding centers.

A basic factor in the ability to locate and use these records in the future is to understand how the offices that create them are tasked to manage them. Through an investigation of the records management systems in use by the Army, Air Force, and Navy/Marines, records that may have information relevant to cultural resources have been identified and analyzed. Current records schedules have been reviewed to ascertain the disposition instructions for these relevant records. Although most are not valuable as CRM records until the real property they relate to has reached approximately 50 years of age, the records must be scheduled in such a way that they will be retained for the necessary fallow period until their new CRM utility is required.

Recommendations resulting from this research include ways in which to refine the work accomplished here, and best practices to address shortfalls, in order to prevent loss of cultural resource related records.

4.2.1   Research steps

1. For this first effort, researchers focused keyword searches on those records related to the built environment. Therefore it is recommended that additional keyword searches be done on those records related to Archeology, Native Americans, and training ranges. Suggested keywords include archeology, Native American, tribal, consultation, NAGPRA, dig permits, artifact, inadvertent discovery, human remains, training, range, etc. Professionals in archeology, Native American con-

sultations, and range issues should review the results for CRM-relevant record types.

2. Use the Navy RDS automated system (fielded during this project) for their records schedules to refine the selection of CRM-related records.

3. Evaluate any superseding records not already included in this study with keyword searches to make sure they are rated by subject mater experts for CRM-relevancy.

4. Expand this research to include more raters of CRM relevancy for the initial Excel spreadsheets (see Step 4 in the Methodology) to increase confidence in the results.

5. It is recommended that record types with an average score of 2.33 or higher in combination with a standard deviation of 1.15 or lower be analyzed further for tangential CRM relevance (see Step 8 in the Methodology). These records typically have two green votes and one red vote from the raters; they are not presented on the shortlists in Appendix B. Nonetheless, after additional analysis they may be deemed relevant enough to be considered CRM-related records.

4.2.2   Best practices

1. Disposition for highly significant CRM-related records should be "permanent." An alternative would be to make a records disposition instruction of "retain for 55 years" (or more) so that there is an opportunity to assess potentially historic properties at 50 years of age. Those records for properties found ineligible to be listed on the National Register could then be destroyed. This would avoid making unnecessary records permanent. There would need to be a separate disposition for holding records of NRHP-eligible properties in perpetuity.

2. CRMs should talk to their Service Records Manager about altering records schedules for records relevant to CRM needs. If altered, CRM should have input into the specific record disposition instructions, along with the Service Records Manager and NARA.

3. Perhaps creating a new records schedule using "cultural resources" as a records category would be the most comprehensive method to assure retention of these records. This designation could include both records created in the CRM offices and records that become CRM-relevant after the originating office no longer needs them.

The Navy has produced draft records schedules for records created by their CRM offices (see Background Section 1.1 of this report). This

should be done by the Army and Air Force as well, in consultation with the NARA, using the steps outlined below.

(1)   This process begins with the CRMs conducting an inventory of their collections and other CRM office-created records that relate to installation history and real property (including new construction and modifications to older buildings and structures). The Air Force has begun this with their inventory of Cold War material (see Background, Section 1.1 of this report).

(2)   Then, a searchable database is created by the CRM office or another office designated by the CRM for this task. The database would contain the records entries.

(3)   Records related to relevant historic properties must be evaluated for historic significance, and the resulting determination entered in the database.

4. Records remaining on-site must be properly stored in an archivally stable manner. Someone should be tasked with the procurement of the proper storage containers, and preparing the documents for retention. The NARA web site (http://www.archives.gov) has valuable information for proper storage of records.
5. If records are not needed on site, then they could be transferred to an on-base storage facility, a FRC, or the NARA. The decision where to transfer, and the mechanisms of that transfer, must be done through the formal channels of the Installation Records Officer and the NARA, with specific protocols, forms, and procedures.
6. Records must be periodically reviewed for continued relevance or new significance. A standard operating procedure (SOP) should be developed for the Integrated Cultural Resources Management Plan (ICRMP), tasking the Cultural Resource Manager to conduct this review on a recurring basis.

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Appendix A: DoD 5015.2 – DoD Records Management Program

Department of Defense
DIRECTIVE

NUMBER 5015.2

March 6, 2000

ASD(C3I)

SUBJECT: DoD Records Management Program

References:

> (a) DoD Directive 5015.2, "Records Management Program,"
> April 11, 1997 (hereby canceled)
> (b) Title 36, Code of Federal Regulations, Chapter XII, "National
> Archives and Records Administration," Subchapter B, "Records
> Management," current edition
> (c) DoD 5025.1-M, "DoD Directives System Procedures," August
> 1994
> (d) Chapters 29, 31, 33, and 35 of title 44, United States Code
> (e) through (g), see enclosure 1

1. <u>REISSUANCE AND PURPOSE</u>

This Directive:

    1.1. Reissues reference (a) establishing responsibility for the DoD
Records Management Program, in accordance with reference (b), under
the Assistant Secretary of Defense for Command, Control, Communica-
tions, and Intelligence (ASD(C3I)).

    1.2. Updates policy and responsibilities for life-cycle management
(creation, maintenance and use, and disposition) of information as records
in all media, including electronic.

1.3. Authorizes the publication of implementing and procedural guidance on the management of records in the Department of Defense, consistent with references (b), (c), and (d).

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities of the Department of Defense (hereafter referred to collectively as "the DoD Components").

3. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

4. POLICY
It is DoD policy to:

4.1. Create, maintain, and preserve information as records, in any media, that document the transaction of business and mission in wartime and peacetime to provide evidence of DoD Component organization, functions, policies, procedures, decisions, and activities as provided in Chapter XII of 36 CFR, Chapters 29, 31, 33, 35 of 44 U.S.C. and DoD 5015.2-STD (references (b), (d) and (e)).

4.2. Manage records effectively and efficiently in compliance with this Directive and references (b), (d) and (c) while protecting the legal and financial rights and interests of the Government and of persons affected by the Government's activities.

4.3. Manage all records in any media used for creation or storage, in accordance with approved records schedules.

5. RESPONSIBILITIES

5.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall:

5.1.1. Issue guidance to implement this Directive and references (b) and (d), and address the following:

5.1.1.1. Policy necessary to establish, manage and maintain an active and continuing DoD Records Management Program under references (b) and (d).

5.1.1.2. Procedures applicable to the creation, maintenance, use, preservation, and disposal of all records, in any storage medium, in compliance with references (b) and (d).

5.1.2. Improve and reengineer DoD records management to enable OSD Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff to manage information in records in their functional areas more effectively and efficiently.

5.1.3. Require the Defense Information Systems Agency to:

5.1.3.1. Establish and maintain a capability to test and evaluate automated records management information systems against legal, Agency-wide, and user requirements.

5.1.3.2. Establish and maintain a test and evaluation program for certifying automated records management information systems that meet the standard functional and automated system requirements for records management.

5.1.3.3. Review and coordinate all recommendations for changes to the DoD design criteria standard (reference (e)) for records management functional baseline requirements, before approval by the Deputy Assistant Secretary of Defense (Command, Control and Communications).

5.1.3.4. Establish and maintain a register of automated records management products that have been certified as meeting the standard functional and automated system requirements. Ready access to this register shall be provided to all DoD records management personnel.

5.2. The <u>OSD Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff</u> shall:

5.2.1. Determine commonality of information in functional records management processes across the DoD Components to ensure information is available to support the warfighter.

5.2.2. Simplify and streamline records management within the Department of Defense by ensuring application of the principles and policies in section 4., above.

5.2.3. Evaluate, improve, implement, and execute DoD records management policies and procedures to ensure that functional management, control, oversight, and leadership are demonstrated during the life-cycle management of DoD records.

5.3. The <u>Head of each DoD Component</u> shall:

5.3.1. Establish and maintain the DoD Records Management Program at an organizational level of sufficient authority to ensure that the objectives and policies of this Directive and Chapters 29, 31, 33, and 35 of 44 U.S.C. (reference (d)) are efficiently and effectively implemented; and designate an individual to administer the DoD Records Management Program.

5.3.2. Apply standards, procedures, and techniques designed to improve the management of records, ensuring that records are:

5.3.2.1. Created, maintained, and preserved to document the organization, functions, policies, decisions, procedures, and essential operational, logistical, and support transactions of the Department of Defense as provided in 36 CFR Chapter XII and 44 U.S.C. Chapters 29, 31 and 35 (references (b) and (d)) and DoD implementing Instructions and Publications.

5.3.2.2. Created, maintained, and preserved to provide the information necessary to protect the legal and financial rights of the Government and of persons directly affected by DoD activities.

5.3.3. Use the most economical, efficient, and reliable means for creation, retrieval, maintenance, preservation, and disposition of records in any media.

5.3.4. Improve the management, maintenance, and security of records in coordination with OSD Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff.

5.3.5. Apply DoD records management functional and system requirements to all electronic records management systems.

5.3.6. Incorporate records management requirements into automated information systems development and redesign.

5.3.7. Ensure proper training of all personnel that create and use records to ensure compliance with this Directive and references (b) and (d).

5.3.8. Advise all employees at least annually:

5.3.8.1. Of their responsibility to create and maintain records.

5.3.8.2. How to identify records and distinguish them from non-record materials.

5.3.8.3. Not to remove records from Government custody or destroy them, except as required or allowed under authorized record schedules.

5.3.8.4. How to inform appropriate officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

5.3.8.5. To identify personal papers and maintain them separately from organizational records, in compliance with reference (b).

5.3.9. Ensure prompt retirement or disposal of temporary records and the timely transfer of permanently valuable records under authorized record schedules.

5.3.10. Periodically evaluate the Components' compliance with the DoD Records Management Program and 36 CFR Chapter XII (reference (b)).

5.3.11. Advise the ASD(C3I) of records management issues that could have broad implications across the Department of Defense or between the Department of Defense and other Government Agencies, and fully cooperate with the ASD(C3I) in resolving these issues.

5.3.12. Safeguard all personal data within records, in accordance with DoD 5400.11-R (reference (f)).

5.4. The Secretaries of the Military Departments, in addition to the responsibilities in subsection 5.3., above, shall provide administrative and logistical support to Commanders in Chief (CINCs) consistent with DoD 5100.3 (reference (g)) except as provided in paragraph 5.5., below.

5.5. The Chairman of the Joint Chiefs of Staff shall:

5.5.1. Implement this records management policy with a policy instruction, procedural manual, and generic disposition schedule for use by the CINCs.

5.5.2. Ensure that each CINC has policies and procedures in place so that all historically important records generated by the U.S. Combatant Command are identified, safeguarded and properly managed in accordance with this Directive.

5.5.3. Conduct periodic reviews of referred programs to ensure all records are scheduled as provided in Chapter XII of 36 CFR and Chapters 29, 31, 33, 35 of 44 U.S.C. (references (b) and (d)), and implementing DoD Instructions and Publications; and provide a written summary of the results of the reviews to the ASD(C3I). These reviews shall not be at the option of the Combatant Commanders or the other activities involved.

6. EFFECTIVE DATE

This Directive is effective immediately.

John J. Hamre
Deputy Secretary of Defense

Enclosures - 2
E1. References, continued
E2. Definitions

E1. <u>ENCLOSURE 1</u>
<u>REFERENCES</u>, continued

(e)   DoD 5015.2-STD, "Design Criteria Standard for Electronic Records
Management Software Applications," November 1997

(f)   DoD 5400.11-R, "Department of Defense Privacy Program," August
1983

(g)   DoD Directive 5100.3, "Support of the Headquarters of Unified,
Specified, and Subordinate Joint Commands," November 15, 1999

E2. ENCLOSURE 2
DEFINITIONS

E2.l.l. <u>Agency</u>. Includes the DoD Components and any military, civilian or contractor personnel conducting operational, logistical, or support transactions anywhere within the DoD Components.

E2.l.2. <u>Nonrecord</u>. As defined in 36 CFR 1222.34 (reference (b)), "Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records (Section 3301 of reference (d)) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit."

E2.l.3. <u>Record</u>. As defined, in part, in Section 3301 of reference (d), "Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them." A record covers information in any medium, and includes operational logistics, support and other materials created or received by the DoD Components in training, contingency, and wartime operations as well as in all routine and peacetime business.

E2.l.4. <u>Records Management</u>. As defined in Section 2901 of reference (d), "Records management means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of Agency operations."

Appendix B: List of Keywords Used to Find CRM-Relevant Record Types

Table 11. Keywords used to find CRM-relevant record types.

Note to reader: Table runs across several page; to be read in subject order, the left column should be read all the way to the end and then return to top of right column on this first page.

Keywords by category	Keywords by category (cont'd)
Climatic, Hydrological, and Topographic Services	**Installations (cont'd)**
Cartographic/cartography	Foundation reports
Geodetic/geodesy	Construction field layout
Base maps and charts	Relocations
Map indices	Analysis of design
Map corrections	Original tracings
Geographic	As-built drawings, shop drawings
Boundaries	Progress photographs
Planimetric/topographic/hydrographc/aerospace/relief maps & surveys	Inspection reports
Construction	Geological investigations
Cost Estimating	Space utilization (criteria)
Funding	Space usage
Awarding of contracts	Real estate
Emergency buildings/facilities (design)	Family housing
Emergency construction	Estimates/cost analysis/economic analysis/cost control records
Damaged or destroyed facilities (replacement of)	Environmental impact
Design/construction investigations and problems	Planning, development, design, construction
Official recommendations	Remodeling, conversion, addition (to existing structures)
Specification development reviews	Housing inventory
Military standards	Unaccompanied person housing
Standard drawings/designs and design references	Permanent party
Division, district (drawings)	Temporary duty
Authorization	Guest housing
Cost limitations	Redesignation, reallocation, inactivation
Architect-engineer contracts	General/Flag Officer's Quarters

Keywords by category	Keywords by category (cont'd)
Operation contracts	Cemeterial correspondence
Contract correspondence	Burial installations
Allotment ledgers, reimbursement vouchers, fund control registers, travel vouchers, Social Security tax receipts, Federal and State unemployment tax, progress & financial reports, closing statements	Gravesite reservations
Board of Contract Appeals	Burial locations, burial space
Contractor termination	Headstones & markers
Compensation and insurance information	Military honors and donations
Equipment rental, inspection, repair	Cemetery engineering
Supplies	Layout maps (gravesite layouts)
USACE, EPA	Interment record
Procurement action reports	Post cemeteries
Corps of Engineers Contracts	Soldier's lots
Civil Works construction	Bounds, deeds
Many of same in Construction (correspondence, contracts, architect-engineer contracts)	**Master plans**
Corps of Engineers Engineering and Design	Buildings, quarters
Mechanical details (drawings)	Aerial (photos/photography)
Full-scale maps	Roads
Building maintenance files	Storm damage
Many of same in Construction category (investigations, standard drawings/designs, division/district)	General site views
Corps of Engineers Planning	Lakes and drainage
Plan/program evaluation and formulation	Real property inventory
Corps of Engineers Topography and Geodesy	Grid maps
Field survey books	Project numbers
Cadastral data	Architectural plans
Tracings	Window vendors
Solar and stellar observation computations	Housing roof photos
Cultural Resources	Construction completion report
Exterior/interior (of buildings)	Bill of materials
Floor plans	Building dedication brochure
Voucher numbers for maintenance/repair/upgrade demo work	Site plan
Contract modification	Post engineer training course report

Keywords by category	Keywords by category (cont'd)
Demolition	Request for services/material
Relocation files	General site view/map
Photographs/ negatives (aerial negatives)	**Miscellaneous**
Inactive buildings	Installation layouts
Film	Landscape features
Multimedia	Topography
Press Release	Cemeteries
Newspaper	Engineering & Design
Public Affairs	Construction & Modification
Cultural Resources/Master Planning	Management, operation, and maintenance
Miscellaneous buildings	Real property
Drawing Vaults	Programs and events
Installation maps	Military history
Environmental Quality	Heraldic activities
Natural beauty	Original drawings
Landscape and grounds	Real property books
Outdoor recreation	Construction reports
Land management	Property cards
Planting	Photo album
Fire protection plans	**Morale, Welfare, and Recreation**
Reforestation	Morale, welfare, recreation
Acres	Loan and grant administration files
Windbreaks and shelter belts	Finance plans
Erosion, dust, and vegetative fire hazards	Source of loan/grant
Drainage	Terms and conditions
Weeds and noxious plants	Nonexpendable property
Irrigation	Nonappropriated fund stock/property
Facilities Engineering	Minor/troop construction projects
Transportation Infrastructures and Dams	**Real Estate**
Paint records (surface preparation, type, performance)	Annexation
Ground maintenance	Disposal (reports)
Installation traffic	Acquisition, jurisdiction, granting temporary use (of real estate)
Traffic engineering	Purchase, lease, donation, transfer (of real estate)

Keywords by category	Keywords by category (cont'd)
Transportation (research and studies)	Easement license, permit, condemnation
Traffic management improvement, simplification, adaptation	Appraisal reports
Heraldic Activities	Certificates of inspection
Symbolic items	Tract ownership data
Insignias, guidons, medals, flags, seals, plaques, badges, ribbons, coats of arms, pennants, streamers, aircraft markings	Title evidence data
Illustrations, designs, paintings, photos, technical data, specifications, correspondence, orders	Vacating of property
Manufacturing drawings	Notices of renewal
Linen cloth	Payment and closing sheets
U.S. uniforms, accouterments, decorations	Consent to option
Historical Activities	Transfer of new construction
Artifacts, weapons	Invitations/abstracts of bids
NRHP	Public auction
Historical (activities)	Excess real property reports
Citations, honors certificates	Receipt (of property)
Names & social security numbers of commanders	Relinquishment
Dates of assumption of command	CERCLA, DERP, BRAC
Entry/release to active Federal/military service	**Real Property**
Organizational history	Architectural and engineering drawings
Unit history	Reports on facilities
Noteworthy events	Building number (lists)
Annual historical summaries	Construction projects
Historian background files	Original buildings
Manuscript draft	Project files
Personnel diaries	Maps
Transcripts (of personal interviews)	Plans
Memoirs	Land acquisition
Correspondence (between author and participants)	Correspondence
Security and statistical clearance documents	Land transfer
Historical inquiries	Legal property descriptions
Personal papers (significant)	Property record cards
Source data	Drawings, drawing number, drawing card

Keywords by category	Keywords by category (cont'd)
Installations	Surveys
Upkeep	Property lease and permits
Insect & Rodent control	Real estate legal procedures
Sanitary fill and dump areas	**U.S. Army Reserve**
Preparation/development/review/approval/revision (of master plans)	Life cycle (management of facilities)
Existing facilities	Design concepts and alternatives
Plans for future development	Historical preservation
Cement and concrete reports	Sustainment documentation

Appendix C: List of Service-Specific CRM-Relevant Record Types

Army

Disposition instructions are coded and begin with the letter "K" for keep or "T" for transfer, followed by an "E" for event when applicable. The last part of the code is a number representing the retention period or the letter "P" for permanent retention. All K codes apply to short-term records that are kept according to the business process until no longer needed (or until no longer needed for business after an event occurs) not to exceed 6 years. The T codes apply to long-term (retentions over 6 years) and permanent records, with a few exceptions for records involving individual rights and interests. Examples of the classifications and their meanings follow:

1. Code K along with a numeric retention period means the record must be kept for the time period specified before it can be destroyed (e.g., K3).
2. Code KE along with a numeric retention period means the disposition is event driven and the record must be kept until the event occurs plus the specified time after the event before it can be destroyed (e.g., KE4).
3. Code KN is used when a specific time period is not known. Records are kept until no longer needed for conducting business, but not longer than 6 years.
4. Code KEN is used when a specific time period is not known and the disposition is event-driven. Records are kept until the event occurs and then, until no longer needed for conducting business, but not longer than 6 years after the event.
5. Code T is used for retention periods longer than 6 years. Records are retired to the records holding area (RHA), Army Electronic Archive (AEA), or other location as specified in the disposition instruction, when no longer needed for conducting business (e.g., T15).
6. Code TE is used with retention periods longer than 6 years and, which have dispositions that are event-driven. Records must be kept until an event occurs and until no longer needed for conducting business before they are retired to the RHA, AEA, or other location as specified in the disposition instruction (e.g., TE25).

7. Code TP and TEP are used for records with permanent retention periods. Records are retired to the RHA and or AEA when no longer needed for conducting business or after an event occurs (AR 25-400-2, 2 October 2007, p 3).
8. Code U is for an unscheduled record. Keep in CFA until disposition instructions are published; then apply approved disposition.

The chart below lists the record types found most likely to contain cultural resource records. For the purpose of brevity, the disposition instructions have been shortened. For more detailed information, please check the record-specific disposition instructions in the relevant records system.

Table 12. CRM-relevant record types in the Army records system.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
ADMINISTRATION	plaque, photo, citations, buildings	Memorialization board files - Office of the AG, other than records pertaining to plaques	1-33a2	PERMANENT. TP.
ADMINISTRATION	photo, citations, buildings	Memorialization board files - Office other than Office of The Adjutant General	1-33a3	K2.
ARMY INFORMATION	press release	News media and releases - Offices other than office having Army-wide responsibility or offices in a combat environment, or designated as combat support elements, and offices having Army-wide responsibility	360-5b3	K5.
ARMY INFORMATION	photo, correspondence	Public inquiries	360-5d	K2.
ARMY INFORMATION	photo	Biographies	360-5e	KE2.
ARMY INFORMATION	photo	Contractor information releases	360-5k	K6.
ARMY INFORMATION	newspaper	Newspaper files - Offices of lower echelons: Record sets	360-81c2	K2.
ARMY INFORMATION	newspaper	Newspaper files - Reference sets	360-81c3	KN.
ARMY INFORMATION	photo	News background	360-81f	K1.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
ARMY PROGRAMS	cartog, as-built drawings, shop drawings, transfer construction, construction reports, negatives, plans, correspondence, drawings	Project operation and maintenance basic files - Field offices: All formal, near print or printed documents, cartographic records and reports concerning each project. Included are master development plans	11-2-240a1	PERMANENT. TP.
ARMY PROGRAMS	as-built drawings, shop drawings, construction reports, negatives, plans, correspondence, drawings	Project operation and maintenance basic files - Field offices: All other records, such as correspondence, raw data in the form of notes, computer print outs, forms, and so forth	11-2-240a2	KN.
ARMY PROGRAMS	construction investigation, construction reports	Program performance reports - Field offices: September and final reports	11-2-240f1	K3.
ARMY PROGRAMS	construction investigation, construction reports	Program performance reports - Field offices: Other reports	11-2-240f2	K1.
CEMETERIES	planting, burial installations, burial location, layout map, gravesite layout, post cemeteries, destroyed building, flag, cemeter, buildings, roads, installation maps, maps, plans, drawings	Installation and gravesite layouts	290-5b	PERMANENT. TEP.
CEMETERIES	bound, correspondence cemet, burial installations, post cemeteries, deeds, cemeter, transfer land, correspondence	Cemetery historical files	290-5c	PERMANENT. TEP.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, geog, topograph, maps	Geographic position and universal transverse Mercator coordinates - Offices having Army-wide responsibility	115-11bb1	PERMANENT. TP.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, geog, topograph, maps	Geographic position and universal transverse Mercator coordinates - Offices other than offices having Army-wide responsibility	115-11bb2	KE1.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, topograph, maps	Map series	115-11kk	KEN.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, planimetric, topograph, hydrograph, aerospace, relief map, photo, maps	Published map and chart records	115-11nn	PERMANENT. TP.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, topograph, map grid, maps	Mapping, Charting, and Geodetic Publication Record Set	115-11pp	PERMANENT. TP.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, map corrections, topograph, maps	Map corrections	115-11t	KEN.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	cartog, geod, topograph, maps	Cartographic references	115-11w	KEN.
CLIMATIC, HYDROLOGICAL, AND TOPOGRAPHIC SERVICES	geod, geog, bound, topograph, drainage, roads, cultural, maps	Mapping regional files	115-11x	KEN.
CONSTRUCTION	funding construction, contract award, construction reports, correspondence	General construction correspondence files	415	KEN.
CONSTRUCTION	transfer construction, funding construction, contract award, emergency building, emergency design, emergency construction, destroyed building, standard drawings, standard design, drawing division, drawing district, designs, original drawings, buildings master plan, buildings, drawings	Standard designs - HQ USACE	415-15d	PERMANENT. TEP.
CONSTRUCTION	design analysis, funding construction, contract award, standard drawings, standard design, design reference, drawings	Standard design references - Field offices	415-15e	KEN.
CONSTRUCTION	transfer construction, funding construction, contract award, standard drawings, standard design, drawing division, drawing district, original drawings, drawings	Division and district standard drawings - Field offices	415-15f	PERMANENT. TEP.
CONSTRUCTION	funding construction, contract award, authorization construction, cost limitation	Project authorizations - HQ USACE: Design directives	415-15h1	T5.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CONSTRUCTION	funding construction, contract award, authorization construction, cost limitation	Project authorizations - HQ USACE: Construction directives	415-15h2	TE10.
CONSTRUCTION	transfer construction, funding construction, contract award, correspondence	Military planning, design, and construction correspondence - OCE	415-15l1	PERMANENT. TP.
CONSTRUCTION	funding construction, contract award, correspondence	Military planning, design, and construction correspondence - Offices other than OCE	415-15l2	K5.
CONSTRUCTION	funding construction, contract award, drawing district, construction reports, construction completion report, engineer drawings, project files, negatives, drawings	Completed military project references	415-15p	KEN.
CONSTRUCTION	tracings, foundation report, relocation, original tracings, shop drawings, progress photograph, geological investigations, minor construction project, minor construction, transfer construction, funding construction, contract award, construction investigation, standard drawings, authorization construction, photo, construction reports, construction completion report, site plan, construction projects, installation maps, maps, plans, drawings	Minor construction projects -Office responsible for awarding contract or for executing work by other means	415-15q1	TE10.
CONSTRUCTION	tracings, foundation report, relocation, original tracings, shop drawings, progress photograph, geological investigations, minor construction project, minor construction, transfer construction, funding construction, contract award, construction investigation, standard drawings, authorization construction, photo, construction reports, construction completion report, site plan, construction projects, installation maps, maps, plans, drawings	Minor construction projects - Offices other than Office responsible for awarding contract or for executing work by other means	415-15q2	KE2.
CORPS OF ENGINEERS ENGINEERING AND DESIGN	transfer construction, construction investigation, mechanical details drawings, full-scale map, engineering design, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, transfer land, maps, plans, drawings	Master development plans - HQ USACE	1110-2-240a	PERMANENT. TP.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CORPS OF ENGINEERS ENGINEERING AND DESIGN	construction investigation, mechanical details drawings, building maintenance, engineering design, buildings, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, plans, drawings	Building maintenance files - Office with Army-wide responsibility	1110-3-204a1	K6.
CORPS OF ENGINEERS ENGINEERING AND DESIGN	construction investigation, mechanical details drawings, building maintenance, engineering design, buildings, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, plans, drawings	Building maintenance files - Offices other than offices having Army-wide responsibility	1110-3-204a2	KN.
CORPS OF ENGINEERS ENGINEERING AND DESIGN	construction investigation, standard drawings, standard design, design reference, mechanical details drawings, engineering design, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, plans, drawings	Standard design references - Field offices	1110-345-710k	KEN.
CORPS OF ENGINEERS ENGINEERING AND DESIGN	transfer construction, construction investigation, standard drawings, standard design, drawing division, drawing district, mechanical details drawings, engineering design, original drawings, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, plans, drawings	Division and District standard drawings - Field offices	1110-345-710m	PERMANENT. TEP.
CORPS OF ENGINEERS ENGINEERING AND DESIGN	transfer construction, emergency building, emergency design, emergency construction, destroyed building, construction investigation, investigation designs, standard drawings, standard design, drawing division, drawing district, designs, mechanical details drawings, engineering design, original drawings, buildings, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, plans, drawings	Standard designs - HQ USACE	1110-345-711a	PERMANENT. TEP.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CORPS OF ENGINEERS ENGINEERING AND DESIGN	transfer construction, construction investigation, standard drawings, standard design, drawing division, drawing district, mechanical details drawings, engineering design, original drawings, architectural plans, drawings, architectural drawings, engineer drawings, construction projects, plans, drawings	Division and District standard drawings - Field offices	1110-345-711f	PERMANENT. TEP.
CORPS OF ENGINEERS PROJECT OPERATION	maps	Project and index maps - Districts and Operating Divisions	1130-2-305a1	PERMANENT. TP.
CORPS OF ENGINEERS PROJECT OPERATION	maps	Project and index maps - Offices other than Districts and Operating Divisions	1130-2-305a2	KN.
CORPS OF ENGINEERS TOPOGRAPHY AND GEODESY	geod, topograph, photo, aerial, surveys	General Corps of Engineers topography and geodesy	117	KEN.
CORPS OF ENGINEERS TOPOGRAPHY AND GEODESY	geod, topograph, hydrograph, field survey book, cadastral, stellar observation, solar, tracings, photo, aerial, engineer drawings, maps, drawings, surveys	Basic topographic data	117-2-4a	U.
CORPS OF ENGINEERS WATER RESOURCE POLICIES AND AUTHORITY	erosion, transfer land, cultural	Conservation of natural resources	1165-2-26a	PERMANENT. TEP.
DECEASED PERSONNEL	bound, cemeter	Mortuary Registers	638-2a	PERMANENT. TP.
DECEASED PERSONNEL	burial location, cemeter	Card Index Abstracts	638-2b	PERMANENT. TP.
ENVIRONMENTAL QUALITY	natural beauty, landscape, grounds, outdoor recreation	Outdoor recreation files	200-3d	KEN.
FACILITIES ENGINEERING	conversion, minor construction, paint record, management operation maintenance, real property	Paint records	420-70c	KN.
FINANCIAL ADMINISTRATION	funding construction, construction reports	Principal costs	37-345-10c	T10.
HERALDIC ACTIVITIES	guidon, flag, correspondence	General heraldic activities correspondence files	840	KEN.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
HERALDIC ACTIVITIES	symbolic item, insignia, guidon, medal, flag, seal, ribbons, coat arm, pennant, streamer, aircraft marking, illustrations, designs, paintings, photo, technical data, correspondence author hist, correspondence	Heraldic items - Office having Army-wide responsibility	840-10a1	PERMANENT. TP.
HERALDIC ACTIVITIES	symbolic item, insignia, guidon, medal, flag, seal, ribbons, coat arm, pennant, streamer, aircraft marking, illustrations, designs, paintings, photo, technical data, correspondence author hist , correspondence	Heraldic items - Offices other than office having Army-wide responsibility	840-10a2	K2.
HISTORICAL ACTIVITIES	historical activit, organizational history, correspondence	General historical activities correspondence files	870	KEN.
HISTORICAL ACTIVITIES	artifacts, historical activit, organizational history, military history, property cards	Historical Property Accounts	870-20a	KEN.
HISTORICAL ACTIVITIES	historical activit, organizational history, military history, correspondence	Museums and Historical Properties - Chief of Military History	870-20b	PERMANENT. TP.
HISTORICAL ACTIVITIES	loan source, artifacts, historical activit, organizational history, military history, property description	Central Site Artifact Management System (CSAMS) Master File	870-20c	TE7.
HISTORICAL ACTIVITIES	weapons historic, historical activit, organizational history	Central Site Artifact Management System (CSAMS) Outputs and Reports	870-20d	T7 .
HISTORICAL ACTIVITIES	redesignation, insignia, flag, coat arm, photo, decorations, historical activit, citations, honors certificate, commanders name, commanders social, assumption command, organizational history, unit history	MTOE Organizational History Files	870-5a	PERMANENT. TP.
HISTORICAL ACTIVITIES	historical activit, organizational history, noteworthy event	Installation historical files	870-5b	PERMANENT. TP.
HISTORICAL ACTIVITIES	historical activit, organizational history, annual historical summar	Annual historical summaries - Summaries and directly related unique background material	870-5c1	PERMANENT. TP.
HISTORICAL ACTIVITIES	historical activit, organizational history, annual historical summar	Annual historical summaries - Other records	870-5c2	T10 .

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
HISTORICAL ACTIVITIES	historical activit, organizational history, historian background, manuscript draft, personnel diar, diari, transcript interview, memoir, correspondence author hist, correspondence	Historian background material files	870-5d	PERMANENT. TEP.
HISTORICAL ACTIVITIES	historical activit, organizational history, military history	Personal files	870-5g	TE.
HISTORICAL ACTIVITIES	photo, historical activit, organizational history, correspondence author hist, source data, correspondence	Historian sources	870-5h	KEN.
INFORMATION MANAGEMENT	funding construction, orders construction, programs events, construction reports	Visual Information (VI) official production folder - Videotape master copy, one dubbing copy, the videodisc premaster with validation disc, and the VI official production folder	25-1rr1	PERMANENT. TEP.
INFORMATION MANAGEMENT	funding construction, orders construction, programs events, construction reports	VI official production folder - Motion picture productions: original negative or color master positive or duplicate negative plus optical sound track, and a sound projection print along with the VI official production folder	25-1rr2	PERMANENT. TEP.
INFORMATION MANAGEMENT	film	VI official production folder - Commercial off-the-shelf products (procured from commercial sources for Army use): two videotapes, film prints, or videodiscs with the official production folder	25-1rr3	KN.
INFORMATION MANAGEMENT	photo	Captions files	25-1uu	K1.
INFORMATION MANAGEMENT	contract award, photo, hous photo	Still photography files - original	25-1vv1	See footnote.[32]
INFORMATION MANAGEMENT	contract award, photo, hous photo	Still photography files - nonselected material or returned records	25-1vv2	KN.

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[32] Forward original negative or transparency, one captioned print, and VIRIN to Commander, USAVIC, ATTN: ASQNV-OL-VML, Wash, DC 20310-4800.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
INFORMATION MANAGEMENT	photo	Photographer identifications	25-1zz	KEN.
INFORMATION MANAGEMENT	illustrations, drawings	Illustrations and drawings	25-30vv	KEN.
INFORMATION MANAGEMENT	illustrations, photo, negatives	Photographic negatives	25-30ww	KEN.
INSTALLATIONS	inactivation, quarters general, correspondence cemet, burial installations, burial location, burial space, gravesite reservation, headstone marker, headstone, military honors, cemeter, management operation maintenance, quarters master plan, correspondence	Cemeterial correspondence	210-190a	KN.
INSTALLATIONS	inactivation, cemetery engineering, layout map, cemeter, engineering design, quarters master plan, installation maps, maps, plans	Cemetery engineering plans	210-190b	KEN.
INSTALLATIONS	inactivation, commanders name, cemeter, quarters master plan	Burial registers	210-190i	PERMANENT. TP.
INSTALLATIONS	planting, inactivation, burial installations, burial location, layout map, gravesite layout, destroyed building, flag, cemeter, buildings master plan, quarters master plan, buildings, roads, installation maps, maps, plans	Installation and gravesite layouts	210-190j	PERMANENT. TP.
INSTALLATIONS	bound, inactivation, burial installations, deeds, cemeter, quarters master plan, transfer land	Cemetery historical files - Oversea installations	210-190m1	PERMANENT. TEP.
INSTALLATIONS	bound, inactivation, burial installations, deeds, cemeter, quarters master plan, transfer land	Cemetery historical files - CONUS installations	210-190m2	PERMANENT. TEP.
INSTALLATIONS	preparation master plans, development master plans, review master plans, approval master plans, revision master plans, existing facilities, future development, inactivation, quarters general, quarters master plan, site plan, transfer land, installation maps, maps, plans, correspondence	Master plans - Installation to which the plan pertains: If listed in the National Register of Historical Places	210-20a1	PERMANENT. TEP.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
INSTALLATIONS	preparation master plans, development master plans, review master plans, approval master plans, revision master plans, existing facilities, future development, inactivation, quarters general, quarters master plan, site plan, transfer land, installation maps, maps, plans, correspondence	Master plans - OCE	210-20a3	KEN.
INSTALLATIONS	preparation master plans, development master plans, review master plans, approval master plans, revision master plans, existing facilities, future development, inactivation, quarters general, quarters master plan, site plan, installation maps, maps, plans, correspondence	Master plans - Offices other than Installation to which the plan pertains or OCE	210-20a4	K6.
INSTALLATIONS	tracings, concrete report cement, relocation, original tracings, shop drawings, geological investigations, inactivation, construction investigation, authorization construction, photo, construction reports, quarters master plan, hous photo, construction completion report, construction projects, drawings	Military construction projects - OCE and OTSG	210-20b1	U.
INSTALLATIONS	tracings, concrete report cement, relocation, original tracings, shop drawings, geological investigations, inactivation, construction investigation, authorization construction, photo, construction reports, quarters master plan, hous photo, construction completion report, construction projects, drawings	Military construction projects - Offices of the Army Staff and major and intermediate command HQ offices	210-20b2	KE2.
INSTALLATIONS	tracings, concrete report cement, relocation, original tracings, shop drawings, geological investigations, inactivation, construction investigation, authorization construction, photo, construction reports, quarters master plan, hous photo, construction completion report, construction projects, drawings	Military construction projects - Field offices	210-20b3	TE10.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
INSTALLATIONS	tracings, concrete report cement, foundation report, construction field layout, relocation, original tracings, shop drawings, inspection reports building, inactivation, construction investigation, standard design, authorization construction, photo, engineering design, construction reports, buildings master plan, quarters master plan, buildings, hous photo, architectural drawings, engineer drawings, construction projects, drawings	Military construction projects that are listed in the National Register of Historic Places or qualified for such listing	210-20b4	U.
INSTALLATIONS	family housing, cost control records, environmental impact, inactivation, minor construction project, minor construction, quarters master plan, construction projects, plans	Family housing maintenance, repair, incidental improvement, and minor construction projects	210-50p	KEN.
INSTALLATIONS	family housing, environmental impact, remodeling, conversion, conversion structures, addition structures, inactivation, quarters master plan, plans	Family housing new construction and line item improvements	210-50q	KEN.
INSTALLATIONS	inactivation, quarters flag officer, quarters general, flag, commanders name, quarters master plan, work order	General/Flag Officer Quarters Management	210-50z	T25.
LEGAL SERVICES	real estate, acquisition real estate, temporary real estate, lease real estate, disposal records, transfer real estate, real property, acquisition land, transfer land, real estate procedure, correspondence	Congressional real estate acquisition reports - Offices in charge of liaison between DA and Armed Services Committee on real estate	27-1i	TE5.
LEGAL SERVICES	real estate, temporary real estate, real property, real estate procedure, correspondence	Congressional real estate disposal reports - Offices in charge of liaison between DA and Armed Services Committee on real estate matters	27-1j	TE5.
LOGISTICS	tracings, concrete report cement, relocation, original tracings, shop drawings, progress photograph, construction investigation, authorization construction, suppl construction, photo, construction reports, construction completion report, construction projects, drawings	Production Base Support Construction Projects	700-90i	TE10.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
MORALE, WELFARE AND RECREATION	tracings, concrete report cement, foundation report, relocation, original tracings, shop drawings, progress photograph, geological investigations, minor construction project, troop construction, minor construction, transfer construction, contract award, construction investigation, standard drawings, authorization construction, photo, construction reports, construction completion report, site plan, construction projects, maps, plans, drawings	NAF minor and troop construction projects - Office responsible for awarding contract or for executing by other means	215-1z1	TE10.
MORALE, WELFARE AND RECREATION	tracings, concrete report cement, foundation report, relocation, original tracings, shop drawings, progress photograph, geological investigations, minor construction project, troop construction, minor construction, transfer construction, contract award, construction investigation, standard drawings, authorization construction, photo, construction reports, construction completion report, site plan, construction projects, maps, plans, drawings	NAF minor and troop construction projects - Offices other than Office responsible for awarding contract or for executing by other means	215-1z2	KE2.
PERSONNEL—GENERAL	drawings	Ceremonies - Office having Army-wide responsibility: Historically important ceremonies	600-25c1	PERMANENT. TP.
PERSONNEL—GENERAL	drawings	Ceremonies - Office having Army-wide responsibility: Other than historically important ceremonies	600-25c2	K5.
PERSONNEL—GENERAL	drawings	Ceremonies - Offices other than Office having Army-wide responsibility	600-25c3	KEN.
PERSONNEL—GENERAL	headstone, cemeter	Cemetery interment files	600-8-1n	KN.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
REAL ESTATE	real estate, acquisition real estate, jurisdiction real estate, temporary real estate, purchase real estate, lease real estate, donation real estate, transfer real estate, easement license, permit real estate, condemnation, appraisal reports, inspection certificate, tract ownership, title evidence, vacat, renew, closing sheet, payment closing, consent option	Acquisition files - HQ USACE	405-10f1	TE10.
REAL ESTATE	real estate, acquisition real estate, jurisdiction real estate, temporary real estate, real property	Overseas real property reports	405-10p	K3.
REAL ESTATE	real estate, annexation, acquisition real estate, jurisdiction real estate, temporary real estate, real property	Real property annexations	405-25a	T6.
REAL ESTATE	real estate, acquisition real estate, jurisdiction real estate, temporary real estate, real property, real property inventory	Real property inventories	405-45a	KEN.
REAL ESTATE	real estate, acquisition real estate, jurisdiction real estate, temporary real estate, real property, property cards, buildings, property record card, property record	Civil Works real property record cards	405-70d	KEN.
REAL ESTATE	real estate, acquisition real estate, jurisdiction real estate, temporary real estate, purchase real estate, lease real estate, transfer real estate, receipt property, destroyed building, real property, property cards, buildings, acquisition land, transfer land, property record card, property record	Military real property record cards	405-90f	See footnote.[33]

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[33] Note: These records will be kept at the installation until control of the real estate passes to the COE as a result of the installation being declared surplus to Army needs. At that time, custody of DA Forms 2877 will be transferred by the repairs and utilities accountable officer to a representative of the COE. After disposal of the real estate to another Government agency, DA Forms 2877 will be transferred to the receiving agency. After disposal to an agency or person outside the Government, DA Forms 2877 will be transferred to the purchaser. When a building is destroyed in any manner, DA Forms 2877 will become an integral part of the report of survey of DD Form 1354 (Transfer and Acceptance of Military Real Property) and will be disposed of with facilities engineering stock record account files. When DA Form 2877 is not accepted by a purchaser outside the Government, destroy form as follows: KE1.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
REAL ESTATE	drainage, real estate, acquisition real estate, jurisdiction real estate, temporary real estate, purchase real estate, transfer real estate, transfer construction, installation layout, real property, roads, architectural plans, architectural drawings, property record card, property record, drawing card, plans, drawings	Military real property record drawings	405-90g	See footnote.[34]
REAL ESTATE	relocation, real estate, deeds, acquisition real estate, jurisdiction real estate, temporary real estate, transfer real estate, title evidence, relinquishment, CERCLA, DERP, BRAC, real property, maps, correspondence	Real property title/historical files - Records maintained by U.S. Army Corps of Engineers Divisions and Districts having operational real estate responsibility	405-90h1	PERMANENT. TEP.
REAL ESTATE	relocation, real estate, deeds, acquisition real estate, jurisdiction real estate, temporary real estate, transfer real estate, title evidence, relinquishment, CERCLA, DERP, BRAC, real property, maps, correspondence	Real property title/historical files - Offices other than U.S. Army Corps of Engineers Division and Districts having operational real estate responsibilities	405-90h2	KN.
STORAGE AND SUPPLY ACTIVITIES	plans	Warehouse plans and layouts	740-1c	KEN.
US ARMY RESERVE	life cycle management facilities, design concept, historical preservation, sustainment, sustainment documentation, evaluation plan program, real property, project files	Life cycle management of Reserve facilities - Chief, Army Reserve: If listed in the National Register of Historic Places	140-483a1	PERMANENT. TEP.
US ARMY RESERVE	life cycle management facilities, design concept, historical preservation, sustainment, sustainment documentation, evaluation plan program, real property, project files	Life cycle management of Reserve facilities - CONUSAs and MUSARCs	140-483a3	KN.
US ARMY RESERVE	life cycle management facilities, design concept, historical preservation, sustainment, sustainment documentation, evaluation plan program, project files	Life cycle management of Reserve facilities - Other offices	140-483a4	KE2.

[34] Note: These files will be kept at the installation to which they apply until the control of surplus real estate passes to COE when their transfer will be affected in the same manner as military real property record card files above. When files not accepted by a purchaser outside the Government: KEN. Event is after consummation of the real property disposal action. Keep in CFA until event occurs and then until no longer needed for conducting business, but not longer than 6 years after the event, then destroy.

Air Force

The chart shown in Table 13 lists the Air Force record types that were found most likely to contain records relevant to cultural resources. The disposition instructions are shown in full as they appear in the AFRIMS database. Disposition codes are not used in the Air Force database as they are in the Army database shown in Table 12.

Table 13. CRM-relevant record types in the Air Force records system.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
ACQUISITION	historical preservation, drawing, inspection, repair, photograph, installation, contract	Historical Files at DoD Components	T63-02 R03.00	Send the historical file to the consignee.
ACQUISITION	historical preservation, drawing, inspection, repair, photograph, installation, contract	Historical Files at a Non-DoD Agency or Organization or Sold	T63-02 R04.00	Offer the file for transfer with the installation plant equipment.
ACQUISITION	historical preservation, drawing, inspection, repair, photograph, installation, contract	Historical Files Destroyed or Abandoned	T63-02 R06.00	Destroy all historical data on an item of IPE destroyed or abandoned.
ACQUISITION	historical preservation	Technical Manuals, Manufacturers Literature	T63-02 R06.01	Unscheduled
ACQUISITION	historical preservation, site, survey	Test Site Location Surveys	T63-10 R21.00	Two years after PMRT, retire as permanent following screening for possible inclusion in HQ BSD historical files.
CHAPLAIN	design, construction, drawing, building, photograph	Design Plans and Policy	T52-01 R17.00	Retire as permanent.
CIVIL ENGINEERING	historical preservation, building, artifact, site, cultur(al)	Historic - Cultural Preservation	T32-03 R01.00	Permanent. Preserve according to 36 CFR 79, Chapter I, Part 79, Curation of Federally-Owned and Administered Archeological Collections.
CIVIL ENGINEERING	historical preservation	Facility Historical Report Showing Costs by Facility and by FY	T32-04 R07.00	Destroy when superseded.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CIVIL ENGINEERING	construction, contract	Major and Minor Construction Programs Including P-341, NAF, and Operations and Maintenance (O&M) by Contract	T32-07 R01.00	Retire as permanent a master copy of each program document with line listing.
CIVIL ENGINEERING	map, construction, drawing, site, photograph	Construction Project Justifications/ Correspondence	T32-07 R03.00	Destroy 4 years after year program was enacted into law, or when no longer needed, whichever is later.
CIVIL ENGINEERING	drawing, funding, payment, architect-engineer	Project Case Files - Approved	T32-07 R10.00	Destroy 8 years after completion and final payment of settlement of the project. (EXCEPTION: Should an official inquiry thereon be, retain files for 2 additional years).
CIVIL ENGINEERING	map, drawing, finance, inspection, division district, site, transportation infrastructure	Project Case Files (U.S. Records in Support of the NATO Infrastructure Program)	T32-09 R01.00	Destroy after Joint Formal Acceptance Inspection (JFAI) and audit by the NATO board of auditors.
CIVIL ENGINEERING	map, drawing, real estate, loan grant, payment, installation	Real Property Case Files	T32-10 R01.00	Retire as permanent upon inactivation of the installation.
CIVIL ENGINEERING	real estate, building, survey	Changes in Utilization of Real Property Facilities	T32-10 R15.00	Destroy 2 years after termination of assignment or when lease is canceled, or when plans are superseded or obsolete.
CIVIL ENGINEERING	real estate	Changes in Utilization of Real Property Facilities	T32-10 R16.00	Destroy when 1 year old or when no longer needed.
CIVIL ENGINEERING	real estate	Air Force Inventory of Real Property	T32-11 R01.00	Retire as permanent a master copy of each document published.
CIVIL ENGINEERING	design, real estate, installation	Overseas Base Civil Engineer (BCE) Real Property	T32-14 R01.00	The accountable installation or MAJCOM will destroy 50 years after base inactivation if no claim is filed, or 50 years after settlement of claim, whichever is applicable.
CIVIL ENGINEERING	map, drawing, installation	Maps and Record Drawings	T32-14 R01.01	The accountable installation or MAJCOM will transfer to the appropriate recipient or to the major recipient of the properties involved.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CIVIL ENGINEERING	real estate, building, demolition, installation	U.S. and Territories Administered by U.S. (BCE) Real Property	T32-14 R02.00	The accountable installation or MAJCOM will destroy 50 years after base inactivation if no claim is filed, or 50 years after settlement of claim, whichever is applicable.
CIVIL ENGINEERING	map, drawing, real estate, installation	U.S. and Territories Administered by U.S. (BCE) Real Property	T32-14 R04.00	The accountable installation or MAJCOM will transfer to the receiving MAJCOM or agency.
CIVIL ENGINEERING	design, real estate, installation	U.S. and Territories Administered by U.S. (BCE) Real Property Related to an Active Installation	T32-14 R05.00	The accountable installation or MAJCOM will destroy 50 years after base inactivation if no claim is filed, or 50 years after settlement of claim, whichever is applicable.
CIVIL ENGINEERING	map, map indices, map corrections, drawing, real estate, installation	U.S. and Territories Administered by U.S. (BCE) Real Property Map and Record Drawing	T32-14 R05.01	The accountable installation or MAJCOM will transfer to appropriate recipient or the major recipient of the property.
CIVIL ENGINEERING	design, construction, drawing, repair	Design Plans and Policy	T32-16 R01.00	Unscheduled
CIVIL ENGINEERING	design, construction, repair	Design Plans and Policy	T32-16 R02.00	Destroy after 2 years or when no longer needed, whichever is sooner.
CIVIL ENGINEERING	map, design, construction, drawing, layout, negatives, photograph, installation, contract	Maps, Plans, Drawings, and Photographs, Drawings on 105mm Film, Design Calculations, Service Contract Records	T32-16 R05.00	Destroy when superseded, obsolete, or no longer needed.
CIVIL ENGINEERING	map, drawing, layout, photograph, installation	Maps, Plans, Drawings, and Photographs	T32-16 R06.00	Unscheduled
CIVIL ENGINEERING	map, drawing, layout, photograph, installation	Maps, Plans, Drawings, and Photographs When Recapture Rights Are Not Retained by Air Force	T32-16 R07.00	Transfer the related maps, copies of plans, drawings, and photographs to the individual or agency accepting accountability for the property.
CIVIL ENGINEERING	construction, inspection, repair, architect-engineer	Civil Engineer Specifications (Copies)	T32-16 R08.00	Destroy when superseded.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CIVIL ENGINEERING	drawing, photograph, installation	Comprehensive Plans and Supporting Data	T32-17 R01.00	Destroy plan when revised in its entirety and/or when AF is relieved of accountability for installation.
CIVIL ENGINEERING	installation	Comprehensive Plans	T32-17 R02.00	Destroy plan when revised in its entirety; and destroy after 75 years when AF is relieved of accountability for installation.
CIVIL ENGINEERING	installation	Comprehensive Plans and Supporting Data /Changes	T32-17 R03.00	Destroy after 2 years.
CIVIL ENGINEERING	design, construction	Status Reports	T32-18 R01.00	Destroy when superseded by updated report.
CIVIL ENGINEERING	map, construction, drawing, inspection, funding, site, photograph	Construction Project Control Files	T32-18 R04.00	Destroy 5 years after cancellation of construction project.
CIVIL ENGINEERING	construction	Construction Project Control Files	T32-18 R05.00	Retain for 5 years after financial completion of project or settlement of claims whichever is later; then retire to FRC for an additional 50 years; then destroy.
CIVIL ENGINEERING	construction, family housing, acquisition+B691	Wherry Act Housing	T32-19 R01.00	Destroy 20 years after Air Force is relieved of accountability of the housing units.
CIVIL ENGINEERING	family housing, contract	Capehart Act Housing	T32-19 R02.00	Destroy 20 years after Air Force is relieved of accountability of the housing units.
CIVIL ENGINEERING	drawing, family housing, photograph, existing, survey	Status Records	T32-19 R03.00	Destroy after 5 years, upon completion of comparable survey, or when no longer needed, whichever is sooner.
CIVIL ENGINEERING	family housing	Air Force Inventory and Utilization of Military Family Housing Units	T32-19 R05.00	Destroy after 1 year.
CIVIL ENGINEERING	construction, family housing, survey	Family Housing Survey and Programming	T32-19 R06.00	Destroy after 3 years.
CIVIL ENGINEERING	family housing	Essential Civilian Family Housing Records	T32-19 R09.00	Destroy after 1 year or when no longer needed, whichever is sooner.
CIVIL	family housing	Unaccompanied Personnel	T32-19	Destroy after 3 years.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
ENGINEERING		Housing (UPH)	R11.00	
CIVIL ENGINEERING	construction, family housing	Air Force Housing Construction Sketches and Preliminary Plans	T32-20 R02.00	Destroy on Air Force acceptance of the completed construction.
CIVIL ENGINEERING	tracing, blueprint, construction, drawing, family housing, building	Air Force Housing Construction Original Tracings, Blueprints, and Final Plans at Bases/Stations	T32-20 R05.00	Transfer to new owner when accountability changes or destroy when building is demolished.
COMMUNICATIONS AND INFORMATION	drawing, site, architect-engineer, installation, traffic engineering	Facility Documentation at Activities Having Engineering/Installation Responsibility	T33-04 R10.00	File after completion of project and destroy miscellaneous documents when superseded or obsolete. Master copies of site adapted drawing records for inactive bases/sites will be sent to acquiring activity at the time of release from caretaker status.
COMMUNICATIONS AND INFORMATION	negatives, photograph	Official Record Photographs, Negatives/Digital Still Images/Extra Prints of Photographs Other Than Officers...[cont.]	T33-17 R01.00	Destroy when no longer needed.
COMMUNICATIONS AND INFORMATION	photograph	Photographs and Digital Still Images	T33-17 R02.00	Retire or dispose of with records to which they become a part of.
COMMUNICATIONS AND INFORMATION	negatives, photograph	Original Negatives or Digital Still Images [at Base Photographic Laboratories]	T33-17 R03.00	Destroy after 1 year.
COMMUNICATIONS AND INFORMATION	negatives, photograph	Original Negatives or Digital Still Images Not at Base Photographic Laboratories	T33-17 R04.00	Destroy on death or retirement of the individual.
COMMUNICATIONS AND INFORMATION	photograph	Record Motion Media Imagery Recordings, Educational Television, Visual Information Captions...[cont.]	T33-17 R14.00	Send per AFI 33-117, Chp 6, to Defense Visual Information Center, (DVIC/ON-PA, 1363 Z Street, Bldg 2730, March AFB CA 92518-1508.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
COMMUNICATIONS AND INFORMATION	historian, negatives	Copies of Material Which Have Been Forwarded to the Department of Defense Visual Information Center (DVIC)	T33-17 R20.00	Offer the copies to the local history office. If the Historian does not want these copies, they may be destroyed or erased when upon verification that the originals were received by DVIC.
COMMUNICATIONS AND INFORMATION	photograph	Local Visual Information/Audio- Visual Production of Local Interest Video Recording/ Photography	T33-17 R21.00	If the local interest item has long-lasting impact/effect on the Air Force, the base or local community, send to DVIC/ON-PA, 1363 Z Street, Bldg 2730, March AFB CA 92518-1508 and one copy to the AFHRA at Maxwell AFB. If DVIC does not want the materials, the AFHRA, Maxwell AFB can have originals. If no one wants the records, destroy 7 years after the event occurred.
COMMUNICATIONS AND INFORMATION	photograph	Film/Video Produced in Testing Film, Photographic, Video, or Like Equipment or in Training Photographers...[cont.]	T33-17 R23.00	Destroy, salvage, or erase when no longer needed (except rule 22).
COMMUNICATIONS AND INFORMATION	drawing, disposal, photograph	Artwork	T33-17 R27.00	Destroy 1 year after the artwork was used, or when obsolete, superseded, or no longer needed. Ensure compliance with local, state and federal environmental regulations for the disposal of materials containing acetate anion, [C2H3O2] a carboxylate or the conjugate base of acetic acid.
FINANCIAL MANAGEMENT	construction, family housing, reimbursement, payment	Wherry or Capehart Act Housing	T65-08 R03.00	Destroy 6 years and 3 months after final payment is made according to FHA amortization schedule or mortgage is paid AND after obtaining clearance from AFREA, AF/CEH and AF/JA.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
HISTORY	historical preservation, historian	Periodic Histories and Occasional Monographs, Studies and Reports Not or Will Bot Be Microfilmed	T84-01 R01.00	Unscheduled
HISTORY	historical preservation, historian	Copies or Microfilm Maintained by the Originating Unit	T84-01 R03.00	Destroy on inactivation of the unit.
HISTORY	historical preservation, historian	Periodic Histories, Monographs, Studies and Reports Retained by Originating HQ USAF Staff Office	T84-01 R04.00	Destroy when no longer needed.
HISTORY	historical preservation, historian	Periodic Histories, Monographs, Studies and Reports Retained for Research and Reference	T84-01 R05.00	Destroy when no longer needed.
HISTORY	historical preservation	Source Documents	T84-01 R06.00	Destroy when no longer needed, or after 2 years, whichever is sooner
HISTORY	map, historical preservation, citation, historian, diar(y), transcript	Historical Research and Reference	T84-01 R07.00	Destroy paper or microfilm when superseded, obsolete, or on inactivation of the unit, whichever is sooner.
HISTORY	historical preservation, photograph	Monographs, Studies, Photographs	T84-02 R03.01	Retire as permanent.
HISTORY	historical preservation, loan grant, disposal	Historical Property	T84-02 R04.00	Destroy 20 years after property leaves AF inventory and all legal settlements have been finalized.
HISTORY	historical preservation, photograph	Historical Property Source Data	T84-02 R05.00	Transfer activated record to the historical property records (Rule 4) files.
HISTORY	historical preservation	Historical Property Source Data Records Other Than Rule 5	T84-02 R06.00	Destroy when no longer needed.
MAINTENANCE	historical preservation, site	Launch Site Historical Data	T21-06 R34.00	Destroy on deactivation of launch site facility or when replaced by a new series missile.
MATERIEL MANAGEMENT	design, drawing, modification, architect-engineer, traffic engineering	Originals of Official Engineering Records (Except Category II Modifications)	T23-15 R03.00	Destroy 35 workdays after date of weekly activity report announcing the drawing as inactive, provided a microfilm copy is on file at AFALD/PTD.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
MATERIEL MANAGEMENT	drawing, architect-engineer, traffic engineering	Information Copies of Engineering Drawing, Engineering Data Authorization Data Forms	T23-15 R05.00	Destroy when superseded, obsolete, inactive, or when no longer needed, whichever is sooner.
MATERIEL MANAGEMENT	historical preservation	Individual Master Aircraft/Missile/ Drone Historical Cards	T23-16 R04.00	Retire as permanent.
PERSONNEL	installation	Memorialization Program Naming Air Force Installations	T36-33 R05.00	Forward to HQ AFHRA/ISR upon inactivation of installation.
PERSONNEL	building	Memorialization Program Naming Streets, Buildings, Facilities or Rooms	T36-33 R06.00	Forward to HQ AFHRA/ISR office when no longer needed.
PUBLIC AFFAIRS	public affairs	Public Affairs Releases Originals or Official File Copies (Routine), Card Index File, News Media Visitor Documentation	T35-01 R01.01	Destroy 1 year after calendar year end
PUBLIC AFFAIRS	public affairs	Public Affairs Releases Originals or Official File Copies (Permanent)...[cont.]	T35-01 R02.00	Permanent
PUBLIC AFFAIRS	drawing, layout, dedication, photograph	Special Events Planning	T35-01 R10.00	Destroy after 4 years, or when no longer needed, whichever is sooner.
PUBLIC AFFAIRS	newspaper	Air Force Newspapers and News Periodicals	T35-01 R14.00	Destroy after event has occurred
SERVICES	cemeter(y)	Cemetery Operations, Interment Reports, Vital Statistics Reports	T34-08 R01.00	Destroy after 5 years.
SERVICES	map, historical preservation, outdoor recreation	Historical Files	T34-13 R01.00	Retire as permanent.
SERVICES	map, historical preservation	Historical Files at all Other NAF Activities	T34-13 R01.01	Destroy 7 years after dissolution of NAF instrumentality.
SERVICES	historical preservation	Historical Files Records Changing Policy Directives, Organizational Charts Supporting Data/Changes/Other Correspondence	T34-13 R01.02	Destroy when no longer needed.
STANDARDIZATION	drawing, procurement, architect-engineer, traffic engineering	Engineering and Technical Data Specifications in Procurement Documentation	T60-02 R02.00	Destroy after 2 years.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
STANDARDIZATION	drawing, procurement, architect-engineer, traffic engineering	Engineering and Technical Data Specifications in Procurement Action	T60-02 R03.00	Destroy after completion of the procurement action.
STANDARDIZATION	design	DoD List of Model Designations of Military Aircraft, Rockets and Guided Missiles	T60-03 R07.00	Destroy when superseded.
STANDARDIZATION	design	Log of All Type Designation Assignments Except Electronics	T60-03 R08.00	Destroy when no longer needed.
STANDARDIZATION	aerospace	Master List of Popular Names Assigned to Aircraft, Missiles and Rockets	T60-03 R09.00	Retire as permanent.

Navy/Marine Corps

The chart in Table 14 lists the Navy/Marine Corps record types that were found most likely to contain cultural resource records. The disposition instructions are shown in full as they appear in the Navy records database. Disposition codes are not used in this database as they are in the Army database shown in Table 12.

The use of the symbol ** in the "Disposition Instruction" column of Table 14 indicates records included in this table that may have arisen as an error of commission or omission. (See Sec. 3.2 "Differences and similarities between the systems" of this report for explanation.)

Table 14. CRM-relevant record types in the Navy records system.

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
ADMINISTRATION AND POLICY RECORDS	historical	SECNAV, Chief of Naval Operations (CNO), , CHINFO, and Naval Media Center. Files document the development and execution of plans, policies, programs, and procedures regarding AFRT relations of the DON including international affairs, public relations and congressional and legislative matters or records which have research, legal, historical, scientific, or cultural values worthy of preservation.	5771-1-a	PERMANENT. Retire to WNRC when no longer needed for reference. Transfer to NARA when 20 years old. (N1-NU-89-4)
ARCHIVES RECORDS	historical	Naval Historical Center, Operational Archives Holding Records. Records documenting the acquisition or transfer of Navy records maintained by the Naval Historical Center. Files include transfer documents, accessioning lists, certificates of origin, finding aids, indexes, and descriptions of the collection.	5753-1	PERMANENT. Transfer to NARA when records are transferred. (N1-NU-89-4)
AVIATION FACILITIES RECORDS	construction	Correspondence, Plans, Data, and Design Manuals, Handbooks, and Guides relating to the Development, Design and Construction of Aviation Facilities. Records maintained by Naval Activities or sponsoring systems command.	11130	Destroy when 10 years old. (N1-NU-86-5)
BRIDGES, TRESTLES, OVERPASS RECORDS	design	Records that establish Geometric Design Criteria for the Design of Bridges, Trestles, and Overpasses maintained by COMNAVFACENGCOM.	11220-1	**PERMANENT. Retire to nearest FRC when 4 years old. Transfer to NARA when 20 years old. (N1-NU-86-5)
BRIDGES, TRESTLES, OVERPASS RECORDS	design	Files of unique design.	11220-1-a	PERMANENT. Retire to nearest FRC when 4 years old. Transfer to NARA when 20 years old. (N1-NU-86-5)
BUILDING MATERIALS RECORDS	building	Building Materials Records	10370	Apply SSIC 10300. (NC1-NU-84-1)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
CEMETERIES RECORDS	cemeter	Records relating to Cemeteries. Files consisting of certifications of titles, deeds, site maps, or photographs; declaration of taking or condemnations; and other related papers.	11170-1	Retain on board. Destroy when facility is disestablished. (N1-NU-86-5)
CEMETERIES RECORDS	cemeter	Burial Register Files. Registers maintained by cemeteries containing information such as records of interments, reservations, etc., that record section, plot, and grave numbers, dates of interment or reservation, and identifying information on the decedent.	11170-2	PERMANENT. Retain on board until facility is disestablished, then transfer to NARA. (N1-NU-86-5)
CHAPEL RECORDS	construction	Records relating to the Construction of Chapels Maintained By the Activity.	11180	Destroy when 10 years old. (N1-NU-86-5)
COMBAT CAMERA OPERATIONS RECORDS	historical	VI-materials (films, tapes, discs, still photo or graphic arts) recorded by Navy and Marine Corps combat camera activities not duplicated elsewhere and determined to have continuing general or historical interest to the Navy or Marine Corps.	3104-1-a	Forward immediately to the Naval Media Center, Washington, DC. (N1-NU-89-5)
COMMAND HISTORIES RECORDS	historical	Marine Corps Command Historical Summary File. File includes copies of certificate of lineage and honors; battle streamer entitlement; copies of past chronology reports; press clippings from local military and civilian newspapers; command press releases; unit history; and photographs judged to be of historical interest. Other operating force Command Histories. (NOTE: Marine Corps Command Chronology is filed separately under SSIC 3480 of this Manual.)	5757-2	PERMANENT. USMC units transfer annually to Commandant of the Marine Corps (CMC) (ORCA); CMC (ORCA) transfer to NARA when 20 years old. (N1-NU-89-4)
COMMUNICATIONS STRUCTURES AND FACILITIES RECORDS	construction	Correspondence, Plans and Other Records. Files pertaining to the development, design and construction of communication facilities. Records are maintained by naval activity or sponsoring systems command.	11120-1	Retire to nearest FRC 4 years after completion of construction or when no longer needed for reference, whichever is earlier. Destroy when 30 years old. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
DRILL AND PARADE GROUNDS RECORDS	construction	Records relating to Construction of Drill and Parade Grounds as well as Other Paved Areas.	11152-1	Destroy when no longer needed. (N1-NU-86-5)
DRYDOCK RECORDS	drawings	Correspondence Files, Reports, Drawings, and related Records. Files pertaining to the engineering, design and maintenance of drydocks.	11420-1	**PERMANENT. Retire to nearest FRC when 5 years old. Transfer to NARA when 20 years old. (N1-NU-86-5)
DRYDOCK RECORDS	drawings	Original "As-Built" Drawings.	11420-1-a	PERMANENT. Retire to nearest FRC when 5 years old. Transfer to NARA when 20 years old. (N1-NU-86-5)
DRYDOCK RECORDS	drawings	Design drawings, reports, construction files, routine test and inspection reports, and general maintenance records.	11420-1-b	Destroy when 5 years old. (N1-NU-86-5)
ENGINEERING DRAWINGS	master plan	Silver film and diazo copies of master plans held by all other activities.	9085-1-a-4	Destroy when 30 years old. (N1-NU-89-3)
EXTERNAL PUBLIC AFFAIRS (INCLUDING FREEDOM OF INFORMATION) RECORDS	newspaper	Research Reference Files. Press clippings, newspapers, and other materials accumulated for reference articles, stories, etc., pertaining to or of interest to the Navy and Marine Corps.	5720-8	Destroy when purpose is served. (N1-NU-89-4)
FAMILY HOUSING RECORDS	building	Facility Files. A facility history record must be maintained for each facility identified on the Family Housing Property Account. For multi-dwelling buildings each family housing unit must have a separate facility history record.	11101-2	*Retain on board. Destroy when no longer required. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
GENERAL FACILITIES AND ACTIVITIES ASHORE (INCLUDE MARINE CORPS SOP'S) RECORDS	construction	Departmental files. Files include correspondence files, master shore station development and military construction plan files with supporting papers, and other records accumulated by the Assistant Secretary of the Navy for Installation and Environment (I&E), and the Commander, Naval Facilities Engineering Command (COMNAVFACENGCOM) relating to their assigned primary program responsibilities for the development, execution, and accomplishment of plans, policies, programs, and procedures for the planning, design, acquisition or development (construction), and maintenance management of structures and facilities ashore, including fleet facilities, plant facilities, housing, transportation, and utilities and services. Include also records of the CNO, CMC, and other departmental systems commands relating to assigned program responsibilities in this area.	11000-1-a	**PERMANENT. Retire to Washington National Records Center (WNRC) when 4 years old. Transfer to National Archives and Records Administration (NARA) when 25 years old. (N1-NU-86-5)
GENERAL FACILITIES AND ACTIVITIES ASHORE (INCLUDE MARINE CORPS SOP'S) RECORDS	construction	Shore Facility Programming Boards, Washington, DC, Program Files. General correspondence files and other records documenting the overall execution of plans, policies, procedures, and the performance of essential transactions. Include master development and construction plans and supporting records.	11000-1-b	Retain on board. Destroy when 5 years old. (N1-NU-86-5)
GENERAL FACILITIES AND ACTIVITIES ASHORE (INCLUDE MARINE CORPS SOP'S) RECORDS	construction	Records of NAVFACENGCOM Field Divisions and Other Major Commands. Files relating to the construction program of the command and to overall planning aspects of civil engineering matters.	11000-1-c	PERMANENT. Retire to nearest FRC when 4 years old. Transfer to NARA when 25 years old. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
GENERAL FACILITIES AND ACTIVITIES ASHORE (INCLUDE MARINE CORPS SOP'S) RECORDS	building	Facilities History Cards. Contains information related to locations, design and maintenance of facilities ashore.	11000-4	Retain on board. Destroy after building or facility is reported as disposed of. (N1-NU-86-5)
GENERAL FLEET FACILITIES RECORDS	construction	Naval Stations, Naval Bases, Naval Operating Bases, Naval Air Stations, Marine Corps Bases, Marine Corps Air Stations, and Construction Battalion Centers.	11400-1-a	PERMANENT. Retire to nearest FRC when 4 years old. Transfer to NARA when 20 years old. (N1-NU86-5)
GENERAL MICROGRAPHICS PUBLICATIONS, PRINTING, DUPLICATING, AND REPRODUCTION RECORDS	press release	Publications Files. Master files of naval publications maintained by printing plants or other production units and/or by issuing activity—one copy of each publication, poster, chart, regulation, directive, booklet, speech, form, press release, and similar material. (This item does not cover copies and related program material retained in originating office.)	5600-4	Return publication copies to originator upon completion of job. (N1-NU-89-4)
GENERAL OPERATIONS AND READINESS RECORDS	construction	Base Headquarters Records. Records are accumulated by Naval Operating Bases, Submarine Bases, Amphibious Bases, Construction Battalion Centers and Marine Corps air bases and major subordinate commands.	3000-5	**PERMANENT. Retire to nearest FRC when 5 years old. Transfer to NARA when 25 years old. (N1-NU-89-5)
GENERAL OPERATIONS RECORDS	construction	Construction Force Activities Records.	3100-4	**PERMANENT. Retire to WNRC when 5 years old. Transfer to NARA when 20 years old. (N1-NU-89-5)
GENERAL OPERATIONS RECORDS	construction	Construction Maintenance Records.	3100-4-i	**Destroy when 2 years old. (N1-NU-89-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
GENERAL RDT&E RECORDS	historical	Historically significant projects. Projects considered (1) Significant by virtue of receipt of a national or international award of merit, (2) Leading to a significant scientific accomplishment having wide ranging and long term benefits both to the Navy and to mankind or (3) Are the result of an important international, inter-agency or joint Federal/non-Federal cooperative effort. Selection is to be made by subject experts at each Navy R&D facility prior to retiring inactive records to FRCs.	3900-5-a	PERMANENT. Navy will conduct an annual review of the projects to identify significant projects when the projects are ten years old. Place in inactive project file upon termination or completion. Identify as Significant Historical Project before retiring to nearest FRC. Transfer to NARA when 30 years old after declassification review. (N1-NU-05-1)
GENERAL RDT&E RECORDS	historical	Historically significant projects. Projects considered (1) Significant by virtue of receipt of a national or international award of merit, (2) Leading to a significant scientific accomplishment having wide ranging and long term benefits both to the Navy and to mankind or (3) Are the result of an important international, inter-agency or joint Federal/non-Federal cooperative effort. Selection is to be made by subject experts at each Navy Headquarters or systems command office prior to retiring inactive records to FRCs.	3900-6-a	PERMANENT. Navy will conduct an annual review of the projects to identify significant projects when the projects are ten years old. Place in inactive project file upon termination or completion. Identify as Significant Historical Project before retiring to nearest FRC. Transfer to NARA when 30 years old after declassification review. (N1-NU-05-1)
HARBOR DEFENSE FACILITIES RECORDS	construction	Correspondence, Plans, and Other Records. Files pertaining to the development, design and construction of harbor defense facilities. Records maintained by port directors, base commanders, or area coordinators.	11151	PERMANENT. Retire to nearest FRC when 4 years old. Transfer to NARA when disestablished or when 30 years old, whichever is earlier. (N1-NU-86-5)
HIGHWAYS AND ROADS RECORDS	construction	Records relating to Design, Construction, Maintenance and Upkeep of Highways and Roads. Records maintained by local activities.	11210-1	Destroy when 10 years old. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
HISTORICAL MATTERS RECORDS	historical	Records of the Office of SECNAV, OPNAV, Headquarters USMC and other components of the Executive Part of the DON. Records consisting of reports, correspondence, or other documents accumulated or prepared in connection with historical and related functions and reflecting the administrative history of Navy and Marine Corps.	5750-1-a	PERMANENT. Retire to WNRC when no longer needed. Transfer to NARA when 20 years old. Send Marine Corps records to CMC (ORCA) when 3 years old. CMC (ORCA) transfer to NARA when 20 years old. (N1-NU-89-4)
HISTORICAL MATTERS RECORDS	historical	Records Not Designated Permanent Elsewhere In This Manual, which the Commander or Commanding Officer Determines to be of Unusual Importance or to Have Exceptional Historical Significance or Interest. Records depicting important unique situations of continuing interest or important policy transactions or decisions, unusual noteworthy events, or summarize the organizational and functional history of the activity.	5750-2	PERMANENT. Retire to nearest FRC when 3 years old. Transfer to NARA when 20 years old. (N1-NU-89-4)
HISTORICAL MATTERS RECORDS	history	Oral History Records.	5750-5	**PERMANENT. Transfer to NARA when 30 years old. (N1-127-89-1)
HISTORICAL MATTERS RECORDS	transcript	Transcripts.	5750-5-a-2	PERMANENT. Transfer to NARA when 30 years old. (N1-127-89-1)
HISTORICAL MATTERS RECORDS	historical	Navy Oral History Program. Interviews of Navy officers and enlisted personnel involved in combat actions or in key operational supporting assignments during periods of armed conflict. Included also are interviews of former prisoners of war. Interviews are conducted by Naval Historical Center personnel and field historians as part of the Navy's Oral History Program.	5750-5-b	**PERMANENT. Transfer instructions to be determined at a later date. (N1-NU-89-4)
HISTORICAL MATTERS RECORDS	transcript	Transcripts.	5750-5-b-2	PERMANENT. Transfer to NARA when 50 years old. (N1-NU-89-4)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
INTERNAL PUBLIC AFFAIRS RECORDS	newspaper	Station Newspapers from Navy and Marine Corps Bases, Air Stations, and major industrial facilities, e.g., naval shipyards, aircraft rework facilities, training centers, etc.	5780-4-a	Offer to NARA Regional Archives upon closing of the base or installation. Long running publication series not needed for publication files should be offered to NARA in 5-year blocks when 20 years old. (N1-NU-89-4)
MARINE RAILWAYS RECORDS	drawings	Correspondence, Reports, Drawings, and related Records. Files pertaining to the engineering, design and maintenance of marine railways.	11430-1	**PERMANENT. Retire to nearest FRC when 5 years old. Transfer to NARA when 20 years old. (N1-NU-86-5)
MARINE RAILWAYS RECORDS	drawings	Original "As-Built" Drawings.	11430-1-a	PERMANENT. Retire to nearest FRC when 5 years old. Transfer to NARA when 20 years old. (N1-NU-86-5)
MARINE RAILWAYS RECORDS	drawings	Design drawings, reports, construction files, routine test and inspection reports, and general maintenance records.	11430-1-b	Destroy when 5 years old. (N1-NU-86-5)
MEDICAL AND DENTAL STRUCTURES AND FACILITIES RECORDS	construction	Master Project Records. Files documenting the overall planning, programming, construction, maintenance, and management of Navy medical department facilities ashore. Files maintained by Chief, Bureau of Medicine and Surgery (BUMED) only.	11110-1	Retire to WNRC when 4 years old. Destroy when 25 years old. (N1-NU-86-5)
MEDICAL AND DENTAL STRUCTURES AND FACILITIES RECORDS	construction	Medical/Dental Activity Space Program and Special Project System. This system identifies space, equipment, construction standards, and design specification items required for various types of medical/dental facilities. In addition, allowance list of equipment and supplies are maintained for planned and existing facilities. System supports BUMED and is maintained at NIH.	11110-3	**Retain on board. Destroy when updated or superseded, whichever is earlier. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
MEDICAL AND DENTAL STRUCTURES AND FACILITIES RECORDS	map	General Correspondence Files. General office correspondence and related non-record materials such as pictures, maps, etc., maintained by activity and by project at BUMED and BUMED command activities.	11110-4	Destroy when 2 years old. (N1-NU-86-5)
MEDICAL AND DENTAL STRUCTURES AND FACILITIES RECORDS	design	Design Criteria Records.	11110-5	**Retire to nearest FRC when 5 years old. Destroy when 10 years old. (N1-NU-86-5)
MEDICAL AND DENTAL STRUCTURES AND FACILITIES RECORDS	drawings	Blueprints and layouts. Copies maintained by BUMED and BUMED activities. Exclude master drawings retired under SSIC 11012.	11110-5-a	Retire to nearest FRC when 5 years old. Destroy when 10 years old. (N1-NU-86-5)
MEDICAL AND DENTAL STRUCTURES AND FACILITIES RECORDS	architectur	Technical reference files. Records include brochures, catalogs, etc., pertaining to materials, systems, and equipment related to architectural planning and development.	11110-5-b	Retain on board. Destroy when superseded or outdated, whichever is earlier. (N1-NU-86-5)
MILITARY CONSTRUCTION RECORDS	construction	Formulation and Preparation Records. Records that document the annual and other military construction programs, based on inputs from the major claimants for consideration.	7045-1	Retain on board. Destroy when 15 years old. (NC1-NU-84-3)
MOBILIZATION RECORDS	historical	Historical Documentation/Files Regarding Past National, Navy and USMC Mobilization Evolutions.	3060-1	PERMANENT. Forward to DNH when no longer required. DNH transfer to NARA when 50 years old. (N1-NU-89-5)
MUSEUM RECORDS	construction	Exhibit Files. Design, construction, and background records for exhibits at Navy museums.	5755-1-c	Destroy when exhibit is dismantled. (N1-NU-89-4)
NATO COMMON INFRASTRUCTURE PROGRAM/NATO LOGISTICS RECORDS	drawings	General Correspondence and Other Documentation Associated with the Preparation of Proposed Infrastructure Projects. Files include plans, drawings, specifications, work orders, and proposals.	4045-2	Retain on board. Destroy when 5 years old. (N1-NU-86-4)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
OBSERVATORIES RECORDS	construction	Records relating to the Construction of Naval Observatories. Records are maintained at the activity level.	11154-1	Destroy when 10 years old. (N1-NU-86-5)
ORDNANCE FACILITIES RECORDS	construction	Correspondence, Plans, and Other Records. Files pertaining to the development, design, and construction of ordnance facilities, including guided missile and ballistic ranges, wind tunnels, and other ballistic or aeroballistic facilities.	11140	Destroy when 10 years old. (N1-NU-86-5)
REAL ESTATE RECORDS	map	Real Estate Title Records. Case files containing deeds to property, certificates of title, documents of final adjudication by a court, site maps, Attorney General opinions, and other instruments of ownership. These files are maintained by the NAVFACENGCOM Field Divisions.	11011-1	PERMANENT. Retain on board. Transfer to NARA when activity has been disestablished and property has been removed from DON plant account. (N1-NU-86-5)
REAL ESTATE RECORDS	drawings	Selected drawings and photographs of properties selected for their architectural, historical, or technological significance. (NAVFACENGCOM or EFD's contact NARA in advance of transfer to arrange selection of records for permanent retention).	11011-3-a	PERMANENT. Offer to NARA when property is transferred. (Duplicate copies will be provided, if needed, to new custodian.) (N1-NU-86-5)
REAL ESTATE RECORDS	history	Other files. Such as maintenance history, records of minor modifications, etc.	11011-3-b	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. (GRS 4.4)
REAL ESTATE RECORDS	drawings	Plot Plans, Site Maps and Surveys, and Other Drawings of Navy Real Estate when Property is Not Sold or Transferred to other Custody. These are prepared and accumulated by COMNAVFACENGCOM, Headquarters Marine Corps (HQMC), overseas and area public works offices, and other activities responsible for the acquisition or administration of real estate.	11011-4	**PERMANENT. Retire to nearest FRC in 4 year blocks when newest records are 10 years old. Transfer to NARA when records are 20 years old. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
REAL ESTATE RECORDS	property	Index Card Records of Naval Real Estate. Files reflecting such information as locations, parcel numbers, acreages, or brief description of property.	11011-6	PERMANENT. Retire to nearest FRC when no longer needed. Transfer to NARA when 20 years old. (N1-NU-86-5)
REAL ESTATE RECORDS	construction	Facilities Management Class 1 and 2 Real Property Tracking Systems. These systems are maintained, generally on microcomputers, by Public Works Centers at major naval activities. These systems keep a current log of all class 1 and 2 real property at the base, identifies all tenants occupying the property, and maintains a log of all proposed construction of real property. Reports generated by these systems include lists by property record number, by tenant, by facility, by category code, and by maintenance code.	11011-8	**Retain on board. Destroy when no longer required.(N1-NU-86-5)
RESEARCH AND DEVELOPMENT FACILITIES RECORDS	construction	Correspondence, Plans, and Other Records. Files pertaining to the development, design, and construction of research and development facilities. Records maintained by naval facilities or sponsoring systems command.	11150	Destroy when 10 years old. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	drawings	Construction Drawing. These include intermediate and prefinal drawings, final working drawings, as-built drawings, "records" drawings, shop drawings, repair and alteration drawings, standards drawings, and specifications.	11013-1	**Vital record copy, destroy only when directed by COMNAVFACENGCOM. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	drawings	Drawings filmed on 105 mm or 35 mm silver film.	11013-1-a	**Vital record copy, destroy only when directed by COMNAVFACENGCOM. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
SHORE STATION CONSTRUCTION RECORDS	drawings	Original "record" drawings (as-built drawings, if "record" drawing was not prepared) selected for architectural, historical, or technological significance. Selection criteria to be established by NARA in conjunction with NAVFACENGCOM Headquarters Field Divisions.	11013-1-a-4	PERMANENT. Transfer to NARA when structure is sold, transferred, or demolished, or when 20 years old, whichever is earlier. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	drawings	Original "record" drawings and as-built drawings not included in SSIC 11013.1.a(4)	11013-1-a-5	Transfer to new owner if structure is sold or transferred. Destroy if structure is demolished. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	drawings	Original drawings that have not been filmed.	11013-1-b	**PERMANENT. Transfer to NARA when structure is sold, transferred, or demolished or when 40 years old whichever is earlier. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	drawings	Original "record" drawings (as-built drawings, if "record" drawing was not prepared) selected for architectural, historical, or technological significance. Selection criteria to be established by NARA in conjunction with NAVFACENGCOM Headquarters and Field Divisions.	11013-1-b-1	PERMANENT. Transfer to NARA when structure is sold, transferred, or demolished or when 40 years old whichever is earlier. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	drawings	Construction Drawings, which are not covered in SSIC 11013.1.	11013-2	Retain on board. Destroy when purpose is served. (N1-NU-86-5)
SHORE STATION CONSTRUCTION RECORDS	construction	One construction progress photograph and negative of each construction print.	11013-8-a	**Forward to COMNAVFACENGCOM when 2 years old. (N1-NU-86-5)
SHORE STATION DEVELOPMENT RECORDS	master plan	Official Activity Master Plans. Files accumulated at the activity level. Include master set of all plans. Departmental Shore Station Development master plans are retired as primary program records under SSIC 11001.a.	11010-2-a	Retire to nearest FRC when 4 years old. Destroy when 20 years old. (N1-NU-86-5)

Record Category	Keyword	Record Title	Record No.	Disposition Instructions
SHORE STATION DEVELOPMENT RECORDS	building	Naval Facility Assets Data Base. A single source of data describing facilities for use in planning, management and inventory control. It provides a record of financial and physical data on individual Navy facilities, i.e. buildings, structures, utilities, and land. System is maintained at FACSO Port Hueneme.	11010-5	**Retain on board. Destroy after third system backup. (N1-NU-86-5)
STORAGE STRUCTURES AND FACILITIES RECORDS	construction	Construction Records for Naval Storage Facilities that are maintained at the Activity Level.	11160-2	Destroy when 10 years old. (N1-NU-86-5)
STRUCTURES AND FACILITIES RECORDS GENERAL	drawings	Drawings or Plans. Records include blueprints, etc., of structures (buildings) copies of drawings or plans for each building or other structure at a naval activity or other installation including plans for layout, machinery, and electrical wiring. Records accumulated by naval activities and Public Works Centers only.	11100-2	Destroy when structure is transferred or demolished. (N1-NU-86-5)
STRUCTURES AND FACILITIES RECORDS GENERAL	history	Structure or Facility (History) Records. Master file (one copy only) cards or other similar records that document the physical features, placement, and nature of government structures. Records are only accumulated by naval activities.	11100-3	PERMANENT. Retain on board until activity is disestablished, then transfer to NARA. (N1-NU-86-5)
VI PRODUCTIONS, PRODUCTS, AND SERVICES RECORDS	historical	VI Materials (Films, Tapes, Discs Or Graphic Arts) Recorded by Navy And Marine Corps Activities Not Duplicated Elsewhere and determined to have Continuing General or Historical Interest to the Navy or Marine Corps.	5291-1	**Transfer periodically to the DoD Still Media Records Center Washington, DC. (N1-NU-89-4)
WATERFRONT RECORDS	design	Correspondence Files, Reports, and related Records. Files pertaining to engineering and design of waterfront structures and moorings. Records maintained by activities. (Exclude records for drydocks, marine railways and shipways.)	11410-1	Retain on board. Destroy when 5 years old. (N1-NU-86-5)

Appendix D: Directory of Records Management Offices

Department of Defense **Army Air Force Exchange Service** 3911 South Walton Walker Boulevard Dallas TX 75236-1598 214-312-3118	**Department of Defense** **Defense Commissary Agency (DeCA)** Records Officer DeCA 1300 E Avenue Fort Lee VA 23801-1800 804-734-8000 ext.4-8841
Department of Defense **Defense Contract Audit Agency** Suite 2135 8725 John J. Kingman Road Fort Belvoir VA 22060-6219 703-767-1036	**Department of Defense** **Defense Contract Management Agency** 6350 Walker Lane Suite 300 Alexandria, VA 22310 703-254-2134
Department of Defense **Defense Finance and Accounting Service** 8899 East 56th Street Indianapolis, IN 46249-6500 317-510-5041	**Department of Defense** **Defense Information Systems Agency** DISA Records Manager DISA ATTN: S121 P.O. Box 4502 Arlington VA 22204-4502 703-681-2103
Department of Defense **Defense Intelligence Agency** ATTN: SVI-1 Washington DC 20340-3299 202-231-3848	**Department of Defense** **Defense Logistics Agency** Room 1246, J-65 8725 John J. Kingman Road Ft. Belvoir VA 22060-6221 703-767-2168

Department of Defense **Defense Security Service** 1340 Braddock Place Alexandria VA 22314-1651 703-325-5344	**Department of Defense** **Defense Technical Information Center** 8725 John J. Kingman Road STE 0944 Ft. Belvoir, VA 22060 703-767-9219
Department of Defense **Defense Threat Reduction Agency** 8725 John J. Kingman Road Stop 6201 Ft. Belvoir, VA 22060-6201 703-767-5809	**Department of Defense** **Missile Defense Agency** MDA Federal Office Bldg 2 Room 47362 1301 S. Southgate Rd. Arlington, VA 22234 703-882-6734
Department of Defense **National Geospatial-Intelligence Agency** Mail Stop N-42 1200 1st Street SE Washington DC 20505 202-264-4923	**Department of Defense** **National Reconnaissance Office** 14675 Lee Road Chantilly VA 20151-1715 703-227-9087
Department of Defense **National Security Agency** Suite 6103, DG 9800 Savage Road Ft. Meade MD 20755-6248 240-373-9280	**Department of Defense** **DOD CIO IM** DOD CIO/ IP&I 1851 S. Bell St. Arlington VA 22204 703-602-1007

Department of Defense **Office of Inspector General** Room 226 400 Army-Navy Drive Arlington VA 22202-4704 703-602-3794	**Department of Defense** **Office of the Secretary of Defense** OSD Records Administrator Washington Headquarters Service ATTN: Directives & Records Division 1155 Defense Pentagon Washington, DC 20301-1155 703-696-4959
Department of Defense **Joint Staff** Room 2D 943 400 Joint Staff Boulevard Washington DC 20318-0400 703-697-9777	**Department of Defense** **Department of the Air Force** SAF/XCPPA (C&I POlicy Branch) 1800 Air Force Pentagon Washington, DC 20330 703-696-6496
Department of Defense **Department of the Army** Army Records Management Division 7701 Telegraph Road Alexandria, VA 22315 703-428-6464	**Department of Defense** **Department of the Army** U.S. Army Corps of Engineers Corporate Information (CECI) 441 G Street NW Washington DC 20314-1000 202-761-7138
Department of Defense **Department of the Navy** Agency Records Manager Chief of Naval Operations 720 Kennon Street, SE Bldg. 36, Room 203 Washington Navy Yard Washington, DC 20374-5074 202-433-2434	**Department of Defense** **Department of the Navy** Navy Records Manager Chief of Naval Operations 720 Kennon Street SE Bldg. 36, Room 203 Washington, DC 20374-5074 202-433-4217

Department of Defense **Department of the Navy** Bureau of Naval Personnel 5720 Integrity Drive Millington TN 38055 901-874-3059	**Department of Defense** **Department of the Navy** Marine Corps Records Manager Marine Corps - Code: ARSE 2 Navy Annex, Room 1212 Washington DC 20380-1775 703-614-3076
Department of Defense **Department of the Navy** Naval Air Systems Command 22133 Arnold Rd BLDG 405, Room 136 Patuxent River, MD 20670-1551 301-342-3061	**Department of Defense** **Department of the Navy** Naval Criminal Investigative Service HQ, (Code 27D) 716 Sicard Street SE, Suite 2000 Washington Navy Yard Washington DC 20388-5380 202-433-9505
Department of Defense **Department of the Navy** Navy Facilities Engineering Command Code AHS Washington Navy Yard 1322 Patterson Avenue SE Washington DC 20374-5065 202-685-9079	**Department of Defense** **Department of the Navy** Naval Meteorology and Oceanography Command 1100 Balch Blvd., Code N615 Stennis Space Center, MS 39529-5001 228-688-4162
Department of Defense **Department of the Navy** Naval Oceanographic Office 100 Balch Blvd., Code N121 Stennis Space Center, MS 39522-5001 228-688-4929	**Department of Defense** **Department of the Navy** Naval Research Laboratory Administrative Office Building 222, Room 175 4555 Overlook Avenue SW Washington DC 20375-5000 202-767-1326

Department of Defense **Department of the Navy** Naval Sea Systems Command SEA 1013 1333 Issac Hull AVE SE Stop 9903 Washington Navy Yard DC 20376 703-781-2466	**Department of Defense** **Department of the Navy** Office of the Chief of Medicine and Surgery Director, Secretariat (M09B3) 2300 E Street, NW Washington DC 20372-5300 202-762-3204
Department of Defense **Department of the Navy** Office of Chief of Naval Research 875 North Randolph Street Code 42 Room 611L Arlington VA 22203-1995 703-696-4623	**Department of Defense** **Department of the Navy** Office of the Judge Advocate General Code 64, Building 33 Washington Navy Yard 1322 Patterson Avenue, SE Washington DC 20374-5066 202-685-5281
Department of Defense **Department of the Navy** Office of Naval Intelligence 4251 Suitland Road Washington DC 20395-5720 301-669-5825	**Department of Defense** **Department of the Navy** US Naval Academy 121 Blake Rd Annapolis MD 21402-5000 410-293-1577

Appendix E: Sample Transmittal Forms

This appendix contains the following samples:

* Standard Form (SF) 115 (6 pages including identical continuation pages, plus 2 instruction pages)
* SF 258 (2 pages plus 1 instruction page)
* SF 135 (2 pages plus 1 instruction page).

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

	LEAVE BLANK (NARA use only)
	JOB NUMBER

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408

DATE RECEIVED

1. FROM (Agency or establishment)

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER   5. TELEPHONE

DATE   ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required;   ☐ is attached; or   ☐ has been requested.

DATE   SIGNATURE OF AGENCY REPRESENTATIVE   TITLE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109   NSN 7540-00-634-4064   STANDARD FORM 115 (REV. 3-91)
PREVIOUS EDITION NOT USABLE   Prescribed by NARA
ADMINISTRATION/IPSG ELECTRONIC FORM   36 CFR 1228

Figure A-1. Facsimile of SF 115, page 1.

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION   JOB NUMBER   PAGE   OF

115-109   Two copies, including original, to be submitted to the National Archives and Records Administration.   STANDARD FORM 115-A (REV. 3-91) Prescribed by NARA 36 CFR 1228

Figure A-2. Facsimile of SF 115, page 2.

REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION

		JOB NUMBER	PAGE OF
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109   Two copies, including original, to be submitted   STANDARD FORM 115-A (REV. 3-91)
               to the National Archives and Records Administration.   Prescribed by NARA
                                                                                36 CFR 1228

Figure A-3. Facsimile of SF 115, page 3 (continuation of p 2).

		JOB NUMBER	PAGE
REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION			OF
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109   Two copies, including original, to be submitted   **STANDARD FORM 115-A** (REV. 3-91)
        to the National Archives and Records Administration.   Prescribed by NARA
        36 CFR 1228

Figure A-4. Facsimile of SF 115, page 4 (continuation of p 2).

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<center>**INSTRUCTIONS**</center>

GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior, to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

SPECIFIC

Entry 1 should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

Entries 2 and 3 should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

Entries 4 and 5 should provide the name and telephone number of the person to be contacted for information.

Entry 6 must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

Entry 7 should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column but may be included in entry 8.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawi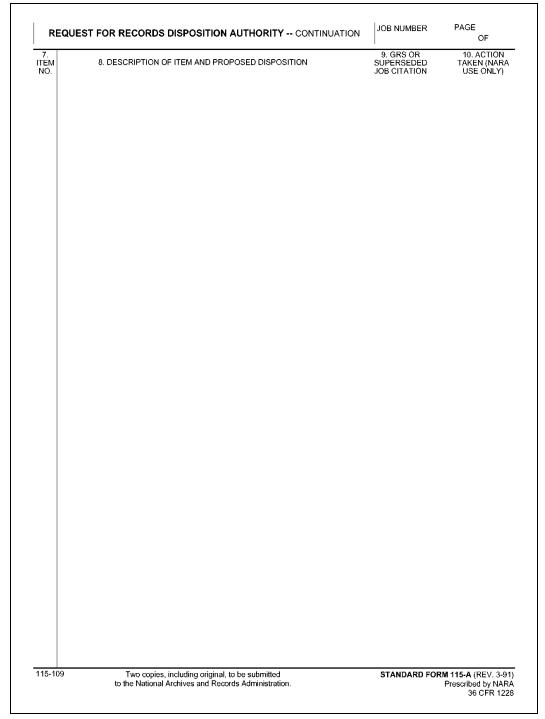ngs, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

1 of 2

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<center>**Figure A-5. Facsimile of SF 115 instructions, page 1.**</center>

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

Entry 9 must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

Entry 10 is for NARA use only and should be left blank.

STANDARD FORM 115 BACK (REV. 3-91)

Figure A-6. Facsimile of SF 115 instructions, page 2.

AGREEMENT TO TRANSFER RECORDS TO
THE NATIONAL ARCHIVES OF THE UNITED STATES

1. INTERIM CONTROL NO. *(NARA use only)*

TERMS OF AGREEMENT

The records described below and on the attached ____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific

restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL

Signature _____ Date _____

3A. NARA APPROVAL

Signature _____ Date _____

2B. NAME, TITLE, MAILING ADDRESS

3B. NAME, TITLE, MAILING ADDRESS

RECORDS OF INFORMATION

4A. RECORDS SERIES TITLE

4B. DATE SPAN OF SERIES

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT	9. PHYSICAL FORMS ☐ Paper Documents ☐ Posters
5B. AGENCY MAJOR SUBDIVISION	☐ Paper Publications ☐ Maps and Charts ☐ Microfilm / Microfiche ☐ Arch / End Drawings
5C. AGENCY MINOR SUBDIVISION	☐ Electronic Records ☐ Motion / Sound / Video ☐ Photographs ☐ Other *(specify):* _____
5D. UNIT THAT CREATED RECORDS	10. VOLUME: CONTAINERS: Cu. Mtr. _____ (Cu. Ft. ___) Number _____ Type _____
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: _____ Telephone: (___) _____	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
	12. ARE RECORD FULLY AVAILABLE FOR PUBLIC USE?
6. DISPOSITION AUTHORITY:	☐ YES ☐ NO *(If no, attach limits on use and justification.)*
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☐ YES LEVEL: ☐ Confidential ☐ Secret ☐ Top Secret SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO ☐ Other _____ INFORMATION STATUS: ☐ Segregated ☐ Declassified	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? ☐ YES ☐ NO *(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)*
8. CURRENT LOCATION OF RECORDS ____ Agency (Complete 8A only) ____ Federal Records Center (Complete 8B only)	14. ATTACHMENTS ☐ Agency Manual Excerpt ☐ Listing of Records Transferred
8A. ADDRESS _____ _____ _____ _____	☐ Additional Description ☐ NA Form 14097 or Equivalent ☐ Privacy Act Notice ☐ Microform Inspection Report ☐ Other *(specify):* ☐ SF(s) 135

8B. FRC ACCESSION NUMBER   CONTAINER NUMBER(S)   FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION | RG

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature _____ Date _____

17. NATIONAL ARCHIVES ACCESSION NO.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RF   Created by PSC Media Arts (301) 443-2454

SF 258 (9/95)
Prescribed by NARA 36 CFR 1228

Figure A-7. Facsimile of SF 258, page 1.

INSTRUCTIONS

GENERAL: This form may be initiated by the transferring agency or the National Archives and Records Administration (NARA). Prepare a separate SF 258 for each series or SF 115 item being transferred.

WHEN INITIATED BY AN AGENCY: The agency completes blocks 2 and 4 through 14 using the instructions below. Block 2 must be signed and dated. Send the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

WHEN INITIATED BY NARA: NARA completes blocks 1 and 4 through 14 and sends the original to the tranferring agency's records officer. The agency completes block 2, completes or corrects blocks 4 through 14. Block 2 must be signed and dated. The agency sends the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

MAILING ADDRESS: Mail the completed form to either the address below or to the appropriate National Archives regional archives.

> Accessions Control Staff (NN-E)
> Office of the National Archives
> National Archives and Records Administration
> 8601 Adelphi Road
> College Park, MD 20740-6001

If you do not know the address of the appropriate regional archives, telephone the Accessions Control Staff at 301-713- 6655.

1.   INTERIM CONTROL NUMBER: *Leave blank*. NARA will fill in.

2.   AGENCY APPROVAL: The agency records officer having the delegated authority to transfer the records with NARA should sign and date the form here (2A) and provide his/her name, title and mailing address (2B).

3.   NARA APPROVAL: When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes 3A and 3B.

4A/B.   RECORDS SERIES TITLE/DATE SPAN OF SERIES: The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If records are in a Federal records center (FRC) attach each applicable SF 135, Records Transmittal and Receipt. For electronic records, describe any related documentation.

5. Fully identify the unit (5D) that created or organization the records. Usually this is not the agency's records management office. Place the creating unit within its organizational hierarchy (5A-5C). For example, the responsible unit is a branch (5D), within a division (minor subdivision) (5C), within an office (major subdivision) (5B), and within the agency or major component of a department (5A). Block 5A should be the official or legal name of the agency or bureau as published in the *U.S. Government Manual*. In block 5E include the name and telephone number (including the area code) of a person who should be contacted if NARA has any questions about the records. If the originating agency no longer exists, provide the name of the contact person at the successor agency.

6. DISPOSITION AUTHORITY: This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number assigned to the records within an agency records disposition manual based on a NARA-approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? If the records contain security classified information, check "Yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions

(e.g., Sensitive Compartmented Information - SCI or North Atlantic Treaty Organization - NATO). Restricted Data and Formerly Restricted Data - RD/FRD - refers to information subject to the Atomic Energy Act of 1954. Check "Segregated" to indicate that security classified records have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check "Declassified" to indicate whether any records have been declassified, and provide both the authority for declassification and a description of the declassified records.

8.   CURRENT LOCATION OF RECORDS: Check the appropriate box for the current location of the records. If the records currently are in a Federal records center, complete 8B. If the records are located in the transferring agency or other location, complete 8A.

8A. For records located in the transferring agency or other location, provide a complete address.

8B. For records located in a Federal records center, name the center, provide the FRC accession number and container number(s), and the FRC location.

9.   PHYSICAL FORM(S): Check all the boxes that apply to the records included in the transfer.

10. VOLUME: Include both the cubic feet of the records and the number and type of containers holding the records. For example:
   Cu. ft. 15; Number 15; Type FRC boxes.
Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO ARCHIVES: Indicate the date the records are eligible for deposit in the National Archives. This date is determined by the disposition instructions for each item in the approved SF 115 or agency manual.

12. ARE THE RECORDS FULLY AVAILABLE FOR PUBLIC USE? If the records are exempt from release pursuant to the FOIA, 5 U.S.C. 552(b)(1)-(9) and (c)(1)-(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.

13. ARE THESE RECORDS SUBJECT TO THE PRIVACY ACT? The National Archives is required to notify the public, through the *Federal Register*, when it takes custody of records subject to the provisions of the Privacy Act, 5 U.S.C. 552a. The originating agency should use this block to indicate whether the records covered by this SF 258 are part of a Privacy Act "system of records" and include a citation to and a copy of the Privacy Act notice published by the agency for the systems. NARA will use the transferring agency's notice to inform the public, through the *Federal Register*, that the records have been transferred to the National Archives and that no further modification of them is possible.

14. ATTACHMENTS: Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION: NARA uses this space to provide shipping instructions relating to transfers.

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES: The appropriate NARA representative signs block 16 after the records have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. NARA sends the agency a copy of the completed form.

17. NATIONAL ARCHIVES ACCESSION NO.: NARA assigns this unique, permanent control number to each transfer of records.

Figure A-8. Facsimile of SF 258, page 2, including explanation.

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on

| PAGE 1 | OF | PAGES |

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

Federal Records Center

2. AGENCY TRANSFER AUTHOR-IZATION

TRANSFERRING AGENCY OFFICIAL (Signature and title) | DATE

3. AGENCY CONTACT

TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone no.)

4. RECORDS CENTER RECEIPT

RECORDS RECEIVED BY (Signature and title) | DATE

RECORDS DATA

Fold Line

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER	SERIES DESCRIPTION (With inclusive dates of records)	RESTRIC-TION	DISPOSAL AUTHORITY (Schedule and item number)	COMPLETED BY RECORDS CENTER					
RG	FY	NUMBER						DISPOSAL DATE	LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.	
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	

NSN 7540-00-634-4093

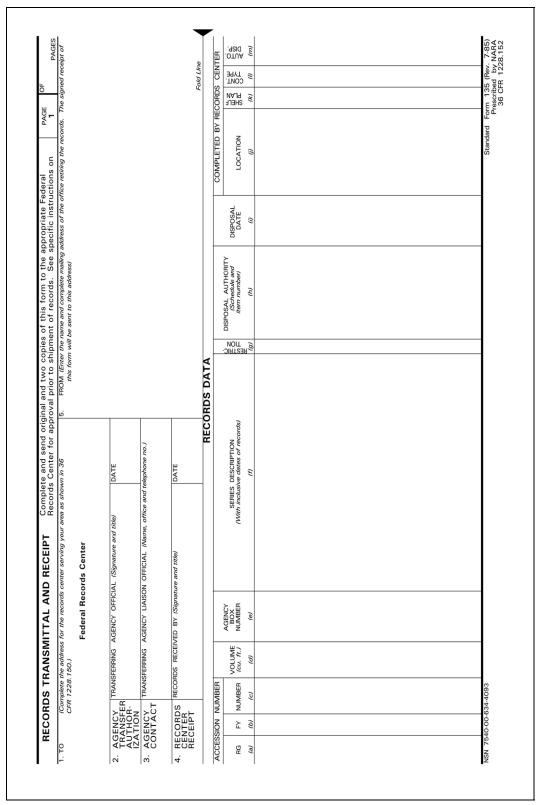Standard Form 135 (Rev. 7-85)
Prescribed by NARA
36 CFR 1228.152

Figure A-9. Facsimile of SF 135, front side.

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is requird for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. the accession number is entered in three parts, consisting of:

(a) The NARA record group number assigned to the records of the agency making the transfer;

(b) The last two digits of the current fiscal year; and

(c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(d) *Volume.* Enter the volume in cubic feet of each series of records being transferred.

(e) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(f) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(g) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal *not required* (specify in column (f))
W	Restricted use—witnessed disposal *required* (specify in column (f))
N	No restrictions

(h) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

(j) *Location.* The records center annotates the shelf location of the first carton for each series of records.

(k) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(l) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(m) *Automatic Disposal.* The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt continaution, when additional space is required for listing records data.

Stamdard Form 135 Back (Rev. 7-85)

Figure A-10. Facsimile of SF 135, back side - instructions.

Appendix F: Abbreviations and Acronyms

ACC	Air Force Combat Command
AEA	Army Electronic Archive
AF	Air Force
AFALD	Air Force Acquisition Logistics Division
AFPO	Air Force Policy Directive
AG	Adjutant General
AFHRA	Air Force History and Research Agency
AFRIMS	Air Force Records Information Management System
AR	Army Regulations
ARIMS	Army Records Information Management System
ARMS	Automatic Records Management System
BCE	Base Civil Engineering
BRAC	Brace Realignment and Closure commission
BUMED	Bureau of Medicine and Surgery (Navy)
CAC	Common Access Card
CERCLA	Comprehensive Environmental Responsibility, Compensation, & Liability Act
CFA	Current files area
CFM	Cultural Resource Management
CFR	Code of Federal Regulations
CHINFO	Chief of Information (Navy)
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
COE	Corps of Engineers (see USACE)
COMNAVFACENGCOM	Commander, Naval Facilities Engineering Command

CONUS	Continental United States
CONUSA	Continental United States Army
CSAMS	Central Site Artifact Management System
DA	Department of the Army
DERP	Defense Environmental Restoration Program
DoD	Department of Defense
DON	Department of the Navy
DVIC	Defense Visual Information Center
E	Event
FASCO	Facilities Systems Office (Navy)
FOIA	Freedom of Information Act
FRC	Federal Records Center
GAO	General Accounting Office
GRS	General Record Schedule
HQ	Headquarters
I & E	Installations and Environment (Navy)
IMCOM	Installation Management Command
IPE	Industrial plant equipment
JFAI	Joint Formal Acceptance Inspection
K	Keep
KE	Keep event
KEN	Keep event no longer needed
KN	Keep no longer needed
MACOM	Major Army Command
MILICON	Military Construction
MTOE	Modified Table of Organizations and Equipment
MUSARC	Major United States Army Reserve Command

NAF	Non-appropriated funds
NARA	National Archives and Records Administration
NATO	North American Treaty Organization
NG	National Guard
NHPA	National Historic Preservation Act
NIH	National Institutes of Health
NRHP	National Register of Historic Places
OCE	Office, Chief of Engineers
O&M	Operations and Maintenance
OPNAV	Office of Chief of Naval Operations
OTSG	Office of the Surgeon General
P	Permanent retention designation
PAM	Pamphlet
PDF	Portable document format
PMRT	Program management responsibility transfer
PTD	Provisioning technology demonstration
RC	Records coordinator
RDS	Records disposition schedule
RHA	Records holding area
RHAM	Records holding area manager
RM	Records manager
RMP	Records management program
RRS-A	Records Retention Schedule-Army
SECNAV	Secretary of the Navy
SECNAVINST	Secretary of the Navy Instruction
SOP	Standard operating procedure
SSIC	Standard subject identification code (Navy)

T	Transfer
TE	Transfer event
TRIM	Total Records and Information Management
U	Unscheduled records
USACE	United States Army Corps of Engineers
USAF	United States Air Force
USMC	United States Marine Corps
VI	Visual information
WNRC	Washington National Records Center

REPORT DOCUMENTATION PAGE

Form Approved

OMB No. 0704-0188

1. REPORT DATE (DD-MM-YYYY) 30-06-2009	2. REPORT TYPE Final	3. DATES COVERED (From - To)

4. TITLE AND SUBTITLE
Analysis of Service Records Management Systems for Rescue and Retention of Cultural Resource Documents

5a. CONTRACT NUMBER

5b. GRANT NUMBER

5c. PROGRAM ELEMENT

6. AUTHOR(S)
Susan I. Enscore, Julie L. Webster, Paul M. Loechl, and Jill L. Barr

5d. PROJECT NUMBER
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2902 Newmark Drive
Chamapaign, IL 61822-1076

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Department of Defense Legacy Resource
Management Program
1225 S. Clark St., Suite 1500
Arlington VA 22202

10. SPONSOR/MONITOR'S ACRONYM(S)
DoD LRMP

11. SPONSOR/MONITOR'S REPORT NUMBER(S)

12. DISTRIBUTION / AVAILABILITY STATEMENT
Approved for public release; distribution is unlimited.

13. SUPPLEMENTARY NOTES

14. ABSTRACT
According to definitions within the National Historic Preservation Act (NHPA), when records are related to a historic property or historic resource, the records themselves are defined as "historic property" or a "historic resource." Historic documents and other materials relating to properties listed in, or eligible for listing in, the National Register of Historic Places (NRHP) include: specifications, illustrations, sketches, drawings, property cards, maps, photographs, charts, tables, and textual documents. The Department of Defense (DoD) has obligations through the NHPA and other legislation to develop and implement plans for identification and management of such records. This study identifies and addresses the conflicts between cultural resources and records management regulations and instructions in an effort to help identify and manage historic record resources. The technical report covering the study contains a basic assessment of relevant records management practices, service-specific mandates and processes, cultural historic property document types, an analysis of record groups containing cultural resource-related records, and summary recommendations. Without this effort, many documents of immense future value to historians, historical architects, cultural resource managers, master planners, and many others would continue to be irrevocably lost.

15. SUBJECT TERMS
Legacy Resource Management Program, historic documents program, cultural resources management, records management, real property

16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT	18. NUMBER OF PAGES	19a. NAME OF RESPONSIBLE PERSON
a. REPORT Unclassified	**b. ABSTRACT** Unclassified	**c. THIS PAGE** Unclassified		123	**19b. TELEPHONE NUMBER (include area code)**